U.S. Department of Justice
Office of Justice Programs

Office of Justice Programs

Fiscal Year 1990 Program Plan

National Institute of Justice

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National Institute of Justice
NCJ 119318

Research Program Plan

FISCAL YEAR 1990

The Assistant Attorney General, Office of Justice Programs, coordinates the activities of the following program Offices and Bureaus: National Institute of Justice, Bureau of Justice Statistics, Bureau of Justice Assistance, Office of Juvenile Justice and Delinquency Prevention, and Office for Victims of Crime.

U.S. Department of Justice

Office of Justice Programs

Office of the Assistant Attorney General

Washington, D.C. 20531

Dear Colleague:

The Office of Justice Programs has developed for the 1990 Fiscal Year a Program Plan that combines the activities of all five of its components -- the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime.

This combined OJP Program Plan is published as a single document entitled, Fiscal Year 1990 Program Plan. It represents unprecedented coordination among the five OJP bureaus and government-wide coordination under the leadership of the Attorney General and the President's Office of National Drug Control Policy.

I am especially pleased to present this chapter of the Office of Justice Programs' FY 1990 Program Plan for the National Institute of Justice. The Institute plans a challenging and aggressive research strategy designed to arm combatants in the war against drugs with the effective weapons they need. In addition, the Plan focuses on public safety and finding more effective ways to lower victimization. Like all public enemies, crime and drug abuse do not cooperate by holding still so that they are easily remedied. Thus, the NIJ Program Plan is a versatile tool that can be adjusted to respond to new challenges that may arise throughout the fiscal year. Ergo, the solicitation that follows is subject to modification or withdrawal without notice.

I hope that you will carefully read the entire Office of Justice Programs' Fiscal Year 1990 Program Plan and the National Drug Control Strategy published in September by the White House and available from the Government Printing Office. Taken together, these documents chart a coordinated, comprehensive approach to waging the war on drugs on every front and ensuring the protection of every American's life, liberty, and property.

Richard B. Abell
Assistant Attorney General

Foreword

Foreword

As we enter the 1990's, we are seeing the development of a new national agenda on crime, in response to the American public's deepening concern about escalating drug violence and related criminal activities. Federal, State, and local officials are facing tough choices among many newly proposed policy initiatives. We are at a critical juncture in crime control and prevention in this country—and both the challenge and opportunity for policy-relevant research are unparalleled.

The National Drug Control Strategy authorized by President Bush heralds an era of new challenges and new resources for the war on drugs. Its comprehensive framework calls for vigorous action and imaginative thinking. Its agenda offers a blueprint for drug research in the coming decade.

With the publication of its *Program Plan* for fiscal year 1990, the National Institute of Justice (NIJ) sets forth its research priorities for the coming year. As always, NIJ's purpose is to work toward policies that will ultimately mean fewer victims of crime. This goal is informed by the priorities established by the President's National Drug Control Strategy and by Attorney General Dick Thornburgh, which include redoubling efforts against narcotics abuse, street crime, white collar crime, organized crime and racketeering, and public corruption—as well as increasing the capacity of correctional facilities and improving coordination and cooper-ation in criminal justice at all levels of government. Because drug control has emerged as our Nation's top problem, it influences many of the Institute's research priorities. It is also accorded its own priority in the research agenda through our programs in Drugs, Alcohol, and Crime, Drug Testing in Community Corrections, and our Special Initiative on Drug Program Evaluation.

The 1990 Plan reflects the Institute's continuing interest in the experiment as a uniquely valuable tool, holding the promise of delivering the hard knowledge we need to make choices among competing policy alternatives. It also demonstrates the Institute's continued support of the kind of basic research that questions our most fundamental assumptions about crime and criminal behavior—in order to refine our understanding and ultimately, improve our ability to protect society.

In the past decade, research sponsored by NIJ has become increasingly influential in shaping public policy debates on crime. Through the beneficial cooperation of practitioners and scholars, NIJ has brought critical information to bear on issues such as drugs and crime, career criminals, the costs of "disincarceration," gun control, family violence, the treatment of victims, and public-private partnerships to enhance both law enforcement and corrections.

Now, at a time when violent crime appears to be escalating and the entire criminal justice system is already operating above capacity, other compelling questions demand research attention.

- With growing evidence of the high rate of drug use among arrestees, as shown by NIJ's Drug Use Forecasting (DUF) system, how can we cut demand for drugs among this high-risk group? How can court-supervised drug testing be used to best advantage to protect communities and help judges make informed pretrial release decisions?

■ As we consolidate our knowledge about a variety of intermediate punishments, including both camps, electronic monitoring, fines, supportive work, etc., what range of expanded options can be shown to provide judges with the greatest flexibility in dealing with the high volume of cases confronting them? Since three-quarters of offenders get probation or are released on parole, how can we best tailor supervision of offenders released into the community so as to control their criminal activity? How can drug testing and treatment be most effectively integrated into probation and parole programs?

■ Building on what we have learned about the benefits of incapacitation, how can we do a better job of classifying offenders and understanding the relationship between the numbers of those incarcerated and crime rates? In addition, how can we employ graduated exit supervision for those offenders who are reentering society after a period of incarceration—to cut the recidivism rate?

■ We already know that the money earned by prisoners as a result of employment inside correctional facilities can aid in victim restitution, contribute to the support of prisoners' families, and defray the costs of incarceration. But how important are skills learned in such private-sector prison industries in promoting successful transition to a work-oriented lifestyle after release?

■ How long can punishment be delayed, as now occurs with court backlogs and crowded cells, before the deterrent effect of the system is irrevocably undermined? Can we correct the apparent randomness of punishment for some offenses by applying a range of intermediate punishments that are both swift and certain?

■ How can police work in partnership with communities and private sector businesses and organizations to co-produce security? How successful are community-oriented and problem-solving policing in delivering police services to the community?

As research evaluates programs that address these questions, the costs of different policy alternatives need to be considered. Such calculations should include the full cost of criminal activities to individual victims and to society as a whole. These costs have traditionally been underassessed, by not adequately taking into account crimes prevented through incapacitation and crimes deterred by the threat of punishment. Indeed, by focusing on the presumed cost disadvantage of incarceration in the past, we may have contributed to the emergency conditions that now characterize so many of our inner cities.

Drug-related crime is at the center of the current emergency—and in one poll was named the number one priority for Government action. Indeed, the public is growing increasingly intolerant of drug crime as well as other criminal phenomena. This is demonstrated by growing public support for mandatory sentencing, sentencing guidelines—as well as widespread prison construction.

President Bush, Attorney General Thornburgh, and Office of National Drug Control Policy Director Bennett have emphasized that drug users as well as drug sellers will be held accountable for their acts. This is a far cry from the ethos of the 1960's, when a vocal segment of society accepted drug use as a victimless crime—a signal that inadvertently led to virtual de facto decriminalization of individual drug use and possession.

We learned from that, and from other untested policies which had unintended consequences, that policy-relevant research should be a vital element in the decisionmaking process. The demand for information on "what works" has never been greater.

Research has already given us some excellent tools to work with. In the past, we lacked the methods to measure with precision the effects of changes in policy. Through experiments and more sophisticated methodologies we have been able to heighten the reliability of research findings and the strength of our policy recommendations.

NIJ's Drug Use Forecasting program has proved to be a significant breakthrough. DUF provides an objective profile of drug use patterns and trends among arrestees across the country—one that is not based on unreliable self-reporting techniques. We have never before had a way to quantify drug use and its relationship to criminal activities. Now we do. Now we also have baseline data to use in gauging the impact of seizures and other interventions on the drug trade.

In addition, DUF has shown that we do not have "a drug problem" in this country; we have *many different* drug problems depending on region. Such data can be immensely useful to local officials in developing prevention and enforcement strategies for their cities. DUF data also have the potential for enabling city officials to estimate future changes in crime rates and drug-related emergency room admissions, as well as trends in child abuse.

Other empirical findings on drugs and crime have led to important criminal justice policy decisions. In Washington, D.C., for example, drug testing of arrestees led to a 50 percent reduction in pretrial crime as well as reduced demand for drugs. Such testing "signals" judges which defendants represent the greatest risk.

Empirical findings in other areas of criminal justice have also informed policy decisions. In the area of spouse abuse, for example, research is changing the way police are responding to domestic violence. The Minneapolis domestic violence experiment examined the consequences of various policies and found that arrest of the abuser reduced repeat violence by as much as 50 percent. Because of growing empirical knowledge, nearly half the large urban police departments have now made arrest the official response to spouse assault, whereas a few years ago, only 10 percent had adopted such a policy. Other experiments are now underway in five jurisdictions.

Research is also assessing data from a range of supervision options with progressively restrictive controls, designed to give judges more flexibility than the "prison or nothing" choice they often face now. These include intensive probation supervision in the community—which research has suggested can save prison space without undue risks to the community—and electronic monitoring, which uses telemetry devices to detect violations of curfew rules by offenders under house arrest.

The public wants better control of the 2.5 million convicted offenders on probation. Research can help evaluate the effectiveness of supervision programs as well as technical support systems that help incapacitate the offender in

the community. Development of more accurate offender classification methods will further enhance the potential of improving the performance of our rehabilitative efforts.

Researchers are also taking the opportunity to learn from a variety of "natural experiments" going on in jurisdictions across the country. These include street-level drug enforcement, seizure of assets of both dealers and users, and enlisting the support of community groups in confronting local problems of drug-related crime, violence, and fear. We need research to measure the success of these interventions in order to learn which strategies will make it toughest on wholesalers, street-level dealers, and individual users.

On another front—forensic analysis—research has given us a revolutionary new tool. Positive identification of criminal suspects through DNA analysis of hair, blood, and semen could substantially change the investigative process.

A revolution is occurring in drug testing methods as well. Recent NIJ research in hair analysis has suggested that the presence of illicit drugs creates a permanent record in the hair, thus providing a greater window of detectability than that available through urinalysis—which has an effective detection period of between 24 and 48 hours. In addition, hair is not perishable, and test results are not as susceptible to compromise as in other drug testing methods. Hair analysis can also act as a valuable tool to research, allowing for tracking of drug use patterns over time.

As we look to the 21st century, collaborative efforts between the scientific and criminal justice communities, like those illustrated here, must be nurtured. The increasingly complex technological base of society—and the increasingly specialized forms of crime that technology is spawning—require it.

Collaborative efforts are called for in many areas of criminal justice. Medical expertise, for example, is essential, when criminal justice officials confront the pressing issues arising from management of those infected with the HIV virus. In fact, NIJ has been at the forefront of this emerging policy dilemma, fostering examination by judges, lawyers, and medical experts of the challenges the criminal justice system now faces in light of a growing epidemic.

Long ago crime and criminal justice stopped being just a problem for police. Now is the time for new partnerships that include private businesses and foundations, community groups—and researchers as well. And we are seeing that support strengthening every day.

As a case in point, an important longitudinal study of human development and criminality has recently begun, cosponsored by the MacArthur Foundation and NIJ. The costly project, which would have been impossible relying solely on limited Government funding, offers the prospect of developing a comprehensive knowledge base that will help us understand not only why individuals commit crime but why others in similar circumstances do not—as well as what factors intervene to end criminal careers.

In addition, the Institute has just concluded arrangements to launch a collaborative effort with the Pew Charitable Trusts for a study of substance abuse prevention programs for high-risk youth in inner cities.

The findings of these and other Institute projects will be the criminal justice tools

of the future. With the tools already in hand today, we are better prepared than at any other time in the last 20 years to meet the challenges before us. We have made striking advances in the methods of criminal justice research.

Thus, we have more knowledge about crime, criminal behavior, and criminal justice policy than ever before. The American people--including private sector businesses and organizations—have shown their strong commitment to work in collaboration with the criminal justice community.

In the past, NIJ has guided a modest investment in research that has been returned many times over—in lives saved, and in new policies to help communities fight back against the corrosive effects of crime. The quality of NIJ-sponsored research has been augmented over the years by outstanding peer review panels composed of both research scientists and practitioners. Peer reviewers are an essential part of the talented corps of researchers and practitioners the Institute has assembled—a braintrust in the truest sense. The intellectual rigor they bring to bear on criminal justice research is enormously encouraging.

The clearest, most penetrating thinking must continue to focus on policy-relevant criminal justice issues. With this in mind, we solicit your new creative ideas and well-considered proposals. At a time of heightened public support, the involvement of knowledgeable practitioners and skillful analytical researchers is vital, so that individuals, our economy, and our society as a whole can prosper.

James K. Stewart
Director
National Institute of Justice

Acknowledgments

In addition to the National Institute of Justice staff members who prepared the individual research solicitations contained in the *Program Plan*, several other staff members coordinated the preparation, production, and publication of the *Plan*.

The *Plan*'s preparation was coordinated by the Office of the Director. In that Office, Terry M. Simpson of the Planning and Management Staff served as *Program Plan* production manager while John B. Pickett, the Director of the Planning and Management Staff, supervised the entire process. The Special Assistant to the Acting Director of the Office of Crime Prevention and Criminal Justice Research, Joel H. Garner, Ph.D., coordinated the efforts of his office. Richard S. Laymon, Ph.D., Director of the Center for Crime Control Research, coordinated the Center's efforts.

In the Office of Communication and Research Utilization, Virginia Baldau, Director, Research Applications and Training Division, coordinated preparation of information on that Office's programs. The Office's Reference and Dissemination Division was responsible for production and publication of the *Program Plan*. Daniel Tompkins provided overall production supervision, with editorial assistance from Division staff member Clay Fulghum.

NIJ's National Criminal Justice Reference Service, particularly editor Joe Holt Anderson and designer Christina Martinson, provided editorial and production support.

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Apprehension, prosecution, and adjudication of criminal offenders 11
Bernard Auchter, 202–724–2952
Cycle 1: January 19, 1990
Cycle 2: May 11, 1990

Drug testing in community corrections 19
Doris MacKenzie, 202–724–7460
Single cycle: March 30, 1990

Public safety and security 25
George Shollenberger, 202–724–2956
Cycle 1: January 26, 1990
Cycle 2: May 18, 1990

Punishment and control of offenders 29
Voncile Gowdy, 202–724–2951
Cycle 1: February 9, 1990
Cycle 2: June 1, 1990

Victims of crime 33
Richard Titus, 202–724–7686
Cycle 1: February 2, 1990
Cycle 2: May 25, 1990

White collar and organized crime 39
Lois Mock, 202–724–7684
Cycle 1: February 16, 1990
Cycle 2: June 8, 1990

Center for Crime Control Research

Criminal careers and the control of crime 49
Winifred Reed, 202–724–7636
Single cycle: February 23, 1990

Drugs, alcohol, and crime 55
Bernard Gropper, 202–724–7631
Cycle 1: January 10, 1990
Cycle 2: May 9, 1990

Ethnographies of property offenders 63
Winifred Reed, 202–724–7636
Single cycle: April 20, 1990

Forensic sciences and criminal justice technology 69
Richard Rau, 202–724–7631
Single cycle: March 16, 1990

Offender classification and prediction of criminal behavior 73
Richard Laymon, 202–724–7631
Cycle 1: January 12, 1990
Cycle 2: May 2, 1990

Violence prevention and control 79
Richard Rau, 202–724–7631
Cycle 1: January 19, 1990
Cycle 2: April 27, 1990

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Richard Rau, 202–724–7631
Single cycle: February 16, 1990

Graduate research fellowships 89
Rosemary Murphy, 202–724–7636
Richard Laymon, 202–724–7631
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Applicants should be aware that the announcements of available funding contained in this plan are contingent upon the appropriation of funds by the Congress. Further, the amount of appropriated funds ultimately available will be determined after any sequestration under Public Law 99–177, the "Balanced Budget and Emergency Deficit Control Act of 1985."

Program announcements

Proposals submitted to the National Institute of Justice (NIJ) should respond directly to one of the 15 Research Announcements described on pages 11 to 95.[1] Prior to expending the considerable effort necessary to develop a competitive proposal, prospective applicants are strongly encouraged to call the program managers listed in these announcements to discuss the appropriateness of possible research topics under their program area.

Projects that contemplate the provision of services in addition to research are eligible for NIJ support but only for the resources necessary to conduct the research tasks outlined in the proposal. Ideally, projects should have a national impact or have potential relevance to a number of jurisdictions. Projects that address the unique concerns of single jurisdictions are unable to receive consideration due to our broad national mandate.

Products

Each project is expected to generate tangible research products. These may include articles in refereed scientific journals, policy-oriented journals, or in professional criminal justice publications. Machine-readable data used in NIJ research are an important and increasingly valued research product. Other potential products include 2,500-word summaries of research findings published by NIJ, conference presentations and papers, implementation manuals, video tape training materials, and formal press releases. Most projects will be limited in the type and number of products anticipated. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected should they be funded.

How to apply

The following procedures are required for all submissions requesting research sponsorship (unless otherwise specified in a particular program announcement). Applicants should submit ten (10) copies of their complete proposals by the deadline established for their particular research program. Submissions must include:

Standard Form 424

A copy of this form (with instructions) is attached at the back of this booklet. Please follow instructions carefully and include all parts and pages.[2]

Application procedures and requirements of award recipients

1. The Institute may publish additional solicitations during the year. These will be announced in the Federal Register and disseminated by the NIJ/National Criminal Justice Reference Service (NCJRS).

2. Please note the following Catalog of Federal Domestic Assistance (CFDA) numbers required by question 6a on Standard Form 424. For all but Visiting Fellows and Graduate Research Fellows applications, the CFDA number is 16.560. For Visiting Fellows applications, the CFDA number is 16.561. For Graduate Research Fellows applications, the CFDA number is 16.562.

Budget narrative

Budget narratives should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. Narratives and cost estimates should be presented under the following standard budget categories: personnel, fringe benefits, travel, equipment, supplies, contracts, other, and indirect costs. The total amount requested must include the full amount of NIJ funding for this project.

All proposals should include in their travel budgets $1,000.00 for each year of the project to pay the principal investigator's expenses for attending a 2-day Program Review Conference. The budget narrative should state that this is a "standard NIJ estimate to cover the expense of travel to the annual Program Review Conference."

One-page abstract

The abstract of the full proposal should highlight the project's purposes, methods, activities, and when known, the location(s) of field research. Abstracts should not exceed one page.

Program narrative

A program narrative is the technical portion of the proposal. It should consist of:

- A clear, concise statement of the issues surrounding the problem area and of the research hypotheses or questions to be explored. A discussion of the relationship of the proposed work to the existing literature is expected.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to the knowledge base for making an informed choice among policy options.
- A detailed statement of the proposed research design and analytical methodologies. Delineate carefully and completely the proposed data sources, data collection strategies, variables to be examined, and procedures of analysis to be employed.
- A description of the expected research products (reports, journal articles, data sets, etc.).
- The organization and management plan to conduct the study. Include a list of major milestones of events, activities, products, and a timetable for completion, including the time commitments of key staff to individual project tasks. All grant activities, including writing the final report, should be completed within 24 months.
- The author(s) of the proposal should be clearly identified.

Copies of curriculum vitae

Vitae for the professional staff should summarize education, research experience, and bibliographic information related to the proposed work.

Debarment and drug-free certification

In addition to Form 424, two recent requirements involve certification regarding (1) debarment and (2) drug-free workplace. Certification forms can be found behind Form 424 at the back of this booklet. Note that there are separate debarment forms for direct recipients and for subrecipients and separate drug-free workplace forms for individuals and other applicants.

Human subjects protection

Research with human subjects plays an vital part in expanding our knowledge about how to combat criminal behavior. It is essential, however, that research be performed without needless risk of distress and with the willing and informed cooperation of research subjects.

Research or statistical information identifiable to a participant in NIJ-sponsored research is protected by statute from being used in legal proceedings.

> [S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings. (42 *United States Code* 3789g)

In addition, the Institute has adopted the U.S. Department of Health and Human Services *Model Policy on Human Research Subjects*. This policy requires that each institution engaged in NIJ research provide written assurances that it will comply with these regulations as codified at 45 *Code of Federal Regulations* 46. Pursuant to that policy, each research project falling within the guidelines established by the Department of Health and Human Services must be approved by the recipient's Institutional Review Board (IRB) prior to the initiation of the project. Approval by the IRB need not precede the submission of a proposal to NIJ but it must be obtained by NIJ prior to the beginning of any research activity.

Coordination

Applicants are expected to identify all other Federal, local or private sources of support, including the other Institute programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the possibility of joint funding and limits the possibility of inadvertent duplicate funding. Concurrent submission to other agencies or, where appropriate, NIJ programs is not discouraged as long as the proposal is directly responsive to each program area where it is submitted. Each NIJ program's peer review process is independent and multiple submissions will not jeopardize the likelihood of an award.

Deadlines

Proposals *must* be received by the dates and times specified in the individual program announcements.

Page limit

No page limits are enforced. However, authors of proposals are encouraged to keep program narratives to a reasonable length. Technical materials that support or supplement the description of the proposed research should be relegated to an appendix.

Length of awards

The Institute limits its awards to a maximum period of 2 years. Studies requiring more than 2 years to complete should be designed in phases. Support for the first phase of a project, however, does not guarantee support for subsequent phases. Typically, continuation proposals are subject to competitive peer review prior to second-phase funding.

Legibility

Proposals that are miscollated, incomplete, or handwritten will be judged as submitted or, at NIJ's discretion, will be returned without a deadline extension. No additions to the original submission are allowed.

Program budgets

Except for the Visiting, Summer, and Graduate Research Fellowship Programs, each program in this announcement is tentatively budgeted from $500,000 to $1,000,000 for fiscal year 1989. Typically, this amount supports from three to six awards per program. Actual funding allocations among programs are based on the quality of the proposals received. Average award amounts and total program budgets for the Visiting, Summer, and Graduate Research Fellowships are considerably lower and are described in the specific program announcements.

The NIJ review process

The Institute makes almost all of its research awards on the basis of national competitions. The competitions may culminate in a single award for a defined research problem or in multiple awards in areas of continuing interest. Because many research programs announce a wide scope of research or multiple areas of interest, a variety of research projects or approaches to a problem area is typically funded.

The Institute awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees. National Institute of Justice programs support a wide variety of principal investigators and institutions. Excluding the Graduate Research Fellowship Program, 295 separate awards were made under NIJ competitive research programs between 1982 and 1986. One hundred and sixty-one different institutions received awards and 220 separate individuals served as principal investigators. Educational institutions received nearly half (144) of these awards, private nonprofit institutions received 101, operational agencies 31, and profitmaking institutions and individuals were awarded 19 grants.

NIJ expects that its competitive research programs will continue to support a wide variety of researchers and research institutions. Although there is some concentration of research awards in larger universities and in nonprofit organizations, we do not believe that good ideas or quality research are limited to these institutions.

Peer review

After all applications for a competition have been received, the Institute selects three to five persons from the research and practitioner communities to serve as the review panel for that program. These experts are chosen for their research experience and operational expertise, as well as for their knowledge in the substantive areas covered by the competition. The individuals who served on NIJ peer review panels in the past 3 years are listed on pages 113 to 121.

The panel members read each proposal received and convene in Washington, D.C., to assess the technical merits and the policy relevance of the research proposed. Their assessment of each submission is forwarded to the Director of the Institute.

The review period normally takes 6 to 10 weeks, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of his or her proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

Under law, the Director has sole authority for awarding grants. Thus, panel assessments of the program submissions, together with the Institute program manager's assessments, are submitted for consideration by the Director. At the conclusion of his review and after thorough scrutiny of the proposed financial estimates, the Director formally awards successful proposals by signing the appropriate award documents.

Review criteria

The essential question asked of each application is, "If this line of research were successful, how would criminal justice policies or operations be improved?"

Five criteria are applied in the evaluation process: technical merit, understanding of the problem, importance of the research, qualifications of the applicant, and project costs.

Technical merits are judged by the likelihood that the research design would produce convincing findings. Reviewers take into account the logic and timing of the research plan, the validity and reliability of measures proposed, the appropriateness of statistical methods to be used, and the applicant's awareness of factors that might dilute the credibility of the findings. Applications must rate well on technical merit in order to be evaluated under the remaining criteria.

Applicants bear the responsibility of demonstrating to the panel that the research proposed is a contribution to the knowledge base in a given field and that the body of research findings could ultimately contribute to a practical application in law enforcement or criminal justice. Reviewers will assess the applicants' awareness of related research and their ability to point their research toward answering questions of policy or improving the state of criminal justice operations.

Applicant qualifications are evaluated both in terms of the depth of experience and the relevance of that experience to the research proposed. Costs are evaluated in terms of the reasonableness of each individual item and in terms of the utility of the project to the Institute's program.

Research methodologies

The Institute supports a wide range of research designs and methodologies including simple descriptive studies and secondary data analysis. Experimental designs are strongly encouraged because of their potential relevance to policymaking and the strength of the evidence they can produce. Proposals for field experiments need to be sufficiently definitive to permit an informed review, yet sufficiently open to the kind of revisions that result from the extensive collaboration with operational agencies actually implementing the experiment.

Standards of performance by recipients

The National Institute of Justice expects individuals and institutions receiving its support to work diligently and professionally toward completing a high quality research product. Besides this general expectation, the Institute must impose some specific requirements to insure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in an Office of Justice Programs document, "Financial and Administrative Guide for Grants." This guideline manual is sent to recipient institutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

The Institute awards grants and enters into cooperative research agreements, depending upon the degree of administrative control that it believes necessary in its various research projects. Grants, which make up the majority of awards, give researchers considerable responsibility and discretion in project decisions. Cooperative agreements are usually awarded when the nature of the project suggests that frequent and continuing NIJ participation in project decisions is desirable. In either case, award recipients incur a number of responsibilities as part of their participation in Government-sponsored research.

Some of these responsibilities are highlighted below.

Communications

Project monitors should be kept informed of research progress. Written progress reports are required on a quarterly basis. All awards use standard quarterly reporting periods—January 1 through March 31, April 1 through June 30, etc.—regardless of the project's start date. Progress reports need not be lengthy, but they should tell the monitor which tasks have been completed and whether significant delays or departures from the original workplan are expected.

Timeliness

Principal investigators are expected to complete award products within the time frames that they have set for themselves. The Institute recognizes that there are legitimate reasons—such as site startup delays and unexpected changes in programs—for project extensions. It does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the principal

investigator or the recipient institution are subject to severe scrutiny and may be denied support based on past failure to meet minimal standards.

Publications

The Institute encourages grantees to disseminate their findings through a variety of media such as professional journals, books, and conferences. Copies of such publications should be sent to the project monitor as they become available even if they appear well after a project's expiration. NIJ imposes no restriction on dissemination other the than following acknowledgment and disclaimer:

> This research was supported by grant number from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.

Depending on the nature of a project, a variety of alternative publication formats may be appropriate for disseminating project findings to the research and policy communities. Two thousand word articles might be appropriate for *NIJ Reports* or slightly longer presentations in the NIJ *Research in Brief* series are examples of available mechanisms used from time to time to communicate project findings to a wider audience.

Research agencies occasionally find it worthwhile to relate important research findings through the media. In such instances, we require that copies of press releases about NIJ research be sent to the Institute at least 20 working days in advance of the actual release. This policy alerts the Department of Justice public information office to possible press inquiries and enables the Institute to coordinate press coverage of Institute-sponsored research findings.

Data sets

Copies of all machine-readable data sets generated in conjunction with Institute-supported research must be provided to the Institute at the end of the project period, along with code books and documentation. This requirement is strictly enforced. Alternative arrangements require the explicit approval of the Director at the time of award.

Research Program Plan Announcements

Office of Crime Prevention and Criminal Justice Research

Apprehension, prosecution, and adjudication of criminal offenders

The purpose of the criminal justice system is to apprehend, prosecute, try the accused, and sanction the guilty perpetrators of crime. However, as regards most crimes, the system does not always achieve this. Much of the criminal justice system's performance is the result of a planned funneling process to insure minimum standards and proof of guilt in the justice process.

At the front end of the process many crimes go undetected and unreported. In these cases an apprehension is unlikely. Even a crime known to the police might not lead to apprehension due to insufficient or inadequate evidence or a victim's decision to drop charges. In current practice, for each felony crime cleared by arrest, four go unsolved.[1] Five of every six arrests for felony offenses result in no conviction or conviction on a lesser charge. Whether these dropout rates represent an irreducible "natural" rate or can be improved through new practices remains a question. However, research suggests that most criminals are eventually caught.[2] Thus the criminal justice system takes on a special significance in handling apprehended offenders, many of whom have had opportunities to evade the established consequences of their actions.

Next as the funneling continues, the "reasonable doubt" standard has an impact on the charging, prosecution, and conviction of criminal defendants. Dismissals for insufficient evidence are the outcome in 40 percent of cases screened by the prosecutor or at the charging hearing by the court.[3] Much of this winnowing of cases and charge reduction is characterized as appropriate. However, some is labeled as "avoidable" or "inappropriate."

While the causes of avoidable attrition differ among jurisdictions, it has common attributes. Among these commonalities are inadequate resources, a lack of investigative thoroughness, insufficient training, or difficult relations between police and prosecutor.

While prosecution screening practices vary throughout the country, a common reason among prosecutors for rejecting cases centers on evidence problems. Many cases are not pursued due to insufficient evidence or to such witness problems as reluctance to testify, unclear or inconsistent statements, and failure to appear. Given career criminal and high rate offender patterns, these evidentiary problems can have a serious impact on safety in our communities.

Evidence in a case may take several forms: physical, documentary, and testimonial. Each of these forms may present special problems. Whatever the evidentiary form, the police present this information to the prosecutor for a determination of its sufficiency. This determination may vary, with some prosecutors willing to take more of a risk by filing charges in a case that might prove comparatively difficult at trial.

However, recent advances relevant to physical evidence may be able to make the difference where there is weak testimonial evidence. New fingerprint

technology, the use of DNA as an identifier, the development and application of voice prints, and the use of "artificial intelligence" in serial murder cases are among the forensic advances that do not rely on the often unreliable eyewitness account. With a higher level of confidence in scientific evidence, the new challenge has become how to successfully integrate new technical advances into the system. In the past, witness testimony was often problematic. Now reliable scientific evidence may alter plea bargaining practices and increase conviction rates.

Within some jurisdictions problems continue in regard to management and delay reduction issues. For example, alternative methods for handling misdemeanor cases by diverting some to arbitration or mediation have been considered. Courts attempting to address case backlog and delay have prioritized criminal over civil matters, established speedy trial rules, initiated delay reduction programs, developed alternatives to traditional adjudication, and instituted programs to enhance judicial resources. Successful jurisdictions have found that ensuring firm trial dates and maintaining continuous control of the case have been key factors in addressing a delay problem.[4] Case management problems remain, however, in many jurisdictions that have been unable to implement or sustain effective delay reduction programs.

Among the more serious legal issues is the lack of finality in serious criminal cases resulting from the defendants' habeas corpus petitioning. Cases have been extended for years and costs to taxpayers have been in the millions of dollars because of continued appeals. The protracted nature of these cases can have an adverse impact on the victims and their families, taxpayers, the credibility of the criminal justice process, and the defendants themselves. This lack of finality is regarded by some as an avoidance of a process which includes a just end, while others view it as a constitutional right.

The funneling process may continue with sentencing. Given a purposeful and effective system of justice, the sentence meted out may be based on varying sentencing philosophies. Deterrence, rehabilitation, or incapacitation may drive a judicial sentencing decision. Sentencing guidelines in some jurisdictions may attempt to embody a number of goals while also reducing disparity in sentencing. The definition of an effective sentence may thus vary depending on jurisdiction and judge. The process thus concludes with sentences of varying degrees of effectiveness, and those excluded from the funnel by recidivism find their way back in.

The criminal justice process continues to be fraught with competing interests, conflicting theories, and varied discretionary practices. Jurisdictions may present enormous variations in their apprehension, prosecution, adjudicatory, and sentencing approaches. This suggests significant consequences to justice system policy in terms of future public safety. Significant variation may also be seen in the goals of the separate agencies within a criminal justice system. An absence of common goals has led to a characterization of the criminal justice system as a "nonsystem."[5] Coordination within the criminal justice system continues to be a call that is heard when emerging problems suggest that basic system goals are not being attained. Improvements in coordination can indeed increase efficiency within the system and also aim to enhance the quality of justice and protection of society.

Other perspectives are offered in studies and reports suggesting a view of the criminal justice system as an enclosed but flexible system, which when pushed in one area reacts in another area in order to maintain some semblance of the status quo.[6] For example, reducing judicial discretion at sentencing is said to increase the prosecutor's discretion at charging. Also, de facto decriminalization such as no charge or no jail policies for certain property or narcotic offenders may, while being responsive to a burdened system, have certain corresponding consequences for society.

Meanwhile, prisons are crowded and incarcerated offenders are being released under court order. An estimated five out of every six citizens are in jeopardy of being victims during their lifetime and many are victimized more than once.[7] These challenges are intensified by a serious and pervasive national drug problem that is straining the limited resources of our criminal justice system.

Scope

Criminal justice policymakers, faced with what seems to be an obvious system overload, have attacked the crime problem in a variety of ways. Perhaps most notable at the local level have been those programs concerned with the concentration of resources on the apprehension and charging of major felony offenders, and on improving police and prosecutor coordination.[8]

Finding better ways to gather evidence includes knowing what to look for and where to find it. An NIJ extension of the Violent Criminal Apprehension (VICAP) Crime Analysis Study in Seattle focuses on improving homicide investigation. This research includes the development of a model statewide homicide information system and the identification of critical "solvability" factors and salient characteristics of homicides. Over 1,200 solved and unsolved Washington State homicide cases between 1981 and 1986 make up the data base upon which the analyses draw. This research will also provide police management with information necessary to allocate manpower and investigative resources more efficiently.

Other research affecting evidentiary issues focuses on DNA as an identifier. This technology can provide evidence for a unique identification of an offender from blood, semen, or hair left at the scene of a crime. The strengthening of the prosecutor's case as well as the establishment of innocence in a criminal case have both been demonstrated through use of this new and powerful technology.

The criminal justice system has managed to cope with its overload by making changes in its administration of the pretrial phase of the offender's career. For example, independent Pretrial Services Agencies provide magistrates with the means for deciding release conditions that are intended to ensure the defendant's appearance in court and to reduce the risk of the defendant's committing crimes while on bail.[9] Laws have been passed by the States and the Federal Government to allow detention of defendants at high risk. NIJ is supporting a bail guidelines study in Phoenix and Miami to provide magistrates with an assessment of the probability of a defendant's failure to appear or committing crime while on bail. Among the conditions being tested is one using urine monitoring to aid the release decision

by determining whether the arrested defendants use drugs.[10]

These changes reflect a consensus that there are ways in which the "system" falls short. The system is costly, and observers perceive varying levels of injustice, unfairness, and lack of protection of the innocent. In this overburdened system, the directions of most beneficial policy changes are by no means self-evident. Research has provided some solutions to aid the system, such as better identification of offenders and assessment of their risk to the community, or guidelines for judges to use in making pretrial release decisions.

Some recent attention focuses on evidence problems such as those noted above as a common reason for prosecutors to reject cases. Research in regard to methods of aiding recall of events by victims and eyewitnesses has been completed and additional work is continuing.

Completed research has addressed the use of a technique known as the "cognitive interview," and also the forensic use of hypnosis. The former approach offers a structured method for enabling a witness to recall an event from a variety of perspectives; it is now being studied in regard to children as witnesses. The latter has been thought to enhance recall through the relaxed state of hypnosis. Recent research suggests, however, that hypnosis does not increase recall—at least not in the absence of emotionally laden memories. Current research continues to address this subject of facilitating eyewitness recall through a comparative examination of hypnosis and the "cognitive interview" techniques with subjects who experience varying degrees of memory loss in stressful situations.

A backlog of cases in the criminal court creates witness attrition and impedes the conducting of a speedy and fair trial. Thus, research sponsored by NIJ within the adjudication area has addressed topics such as case processing, reducing delay in the trial and pretrial process, the use of lawyers as volunteer judges to reduce case backlog, court organization, and alternatives to the traditional adjudication process.

In the field of sentencing, NIJ research has focused on sentencing guidelines and such innovations as the "day fine." A day fine experiment is currently being tried with misdemeanants in the Staten Island, New York, court. The approach allows for a similar economic impact on offenders who have substantially differing resources. Thus, the day fining method is seen by many as a more equitable approach. Two basic steps are involved: First, the number of days in the sentence handed down reflects the severity of the crime and the seriousness of the offender's prior record. In the second step the dollar amount is determined by factoring the number of days with the offender's economic resources expressed as a daily amount.

The results in Staten Island appear quite successful in terms of judicial use of "day fine" guidelines; receptivity by judges, prosecutors, and defense counsel; and an effective collection and enforcement program.

A study of sentencing effectiveness is being undertaken as a joint effort of researchers and practitioners in New Jersey. A comprehensive data set is being developed which merges a 1977 sentencing file of over 15,000 cases with criminal history files from the State Police and corrections information from the Department of Corrections. These combined data systems will permit tracking of offenders from the 1977

sentencing period for subsequent crimes, and it will allow for an examination of the effects of various sentences on subsequent recidivism, thus providing judges with feedback information on the results of their decisions.

The following topic areas, although not intended to be complete in their coverage, are presented as examples of research themes that would fall within the general scope of this program. Other areas and issues of relevance to criminal apprehension, prosecution, adjudication, and sanctioning may also be addressed. Experimental and descriptive studies are encouraged and the projected utility and generalizability of the proposed research are of major interest.

Criminal justice system response to serious crime

A variety of apprehension and prosecution programs and policies have been inaugurated, aimed at removing from the community offenders who pose the greatest threat in terms of the frequency and seriousness of their crimes. Research and evaluation interests include:

- Efforts that target investigations and prosecutions to individuals who fit established criteria as "career criminals" or "repeat offenders."
- Studies directed toward increasing the apprehension rates for serious criminal offenders and increasing the probability of convicting guilty defendants through more conclusive physical, documentary, and testimonial evidence.
- Coordination efforts between State and local agencies and the Federal Government.
- Coordination within a criminal justice system—among police, prosecutors, and the court—to realize the common goals of justice and societal safety.

Studies thus might examine the relative effectiveness of enforcement and prosecution schemes for prioritizing particular classes of criminals such as repeat offenders or major drug offenders, and investigate methods for improved policy coordination.

Pretrial to sentencing issues

Innovative practices and policies have been instituted in some jurisdictions. These have included improved decisionmaking in regard to pretrial release, improvements in the trial process, and sentencing reforms. Areas of research interest include the following:

- Theories conflict about the function of the bail system. Given the paradigm of innocence until proven guilty, pretrial release with assurance of the defendant's appearance at trial can conflict with preventive detention for the protection of society. Thus, risk assessment, bail decisionmaking, drug screening, and jail crowding continue to be issues affected by these conflicting theories.
- The trial process presents a number of areas of research interest. Included are methods for improving juror decisionmaking through such mechanisms as juror notetaking and judicial management of certain cases by separating them from others by way of specialized courts.
- Research on the impact of sentencing policy and practice remains of interest. Areas suggested for further examination include: sentencing guidelines for community service, the expanded use of fines, an examination of a lower age of majority for felony offenses, and the sentencing of special populations such as the mentally retarded.

No problems are more difficult in compating the cost effectiveness of alternative policies than the identification and measurement of relevant costs. Assessments are too often confined to personnel costs, with little attention to the costs of equipment and training, or managerial and administrative demands. Costs imposed by policies on other criminal justice agencies or other social services are rarely considered. Victim costs and lost tax revenues are encountered even less frequently. If a goal of the criminal justice system is to improve the general welfare of the society, then a broader perspective on the cost implications of policies must be encouraged. Further research on the conceptualization and measurement of costs is encouraged in this program.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Apprehension, Prosecution, and
Adjudication Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice before 5 p.m., January 19, 1990, for Cycle 1, and before 5 p.m., May 11, 1990, for Cycle 2. These deadlines will not be extended.

To obtain further information about this solicitation, researchers may write to Bernard Auchter, Program Manager, Apprehension, Prosecution, and Adjudication Program, at the above address, or contact him at 202–724–2952. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Mr. Auchter to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

1. *Uniform Crime Reports, 1975, 1985, and 1987*, FBI, U.S. Department of Justice.

2. Jacqueline Cohen, "Incapacitation as a strategy for crime control," in *Crime and Justice, An Annual Review of Research* 5, University of Chicago Press, 1983.

3. *Criminal Victimization in the United States 1985*, A National Crime Survey Report, Bureau of Justice Statistics, May 1987.

4. See Barry Mahoney, "Caseflow management and delay reduction in urban trial courts," Report to the National Institute of Justice and the Bureau of Justice Assistance, May 1987; *State Court Journal* 9, 4 (Fall 1985); and others.

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7. *Criminal Victimization in the United States 1985*, n. 3 above.

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10. "Drug Use Forecasting: New York 1984 to 1986," National Institute of Justice *Research in Action* 1987; "Drugs and crime," *NIJ Reports*, National Institute of Justice, 1987.

88–IJ–CX–0033. Development and Evaluation of Cognitive Interview Techniques for Use with Children, University of California.

88–IJ–CX–0045. The Ultimate Impacts of Sentencing Reforms and Speedy Trial Laws, Court Studies, Inc.

87–IJ–CX–0056. Phoenix Repeat Offender Experiment Program, The RAND Corporation.

87–IJ–CX–0052. The Use and Effectiveness of Hypnosis and the Cognitive Interview for Enhancing Eyewitness Recall, Institute of Pennsylvania Hospital.

87–IJ–CX–0026. Improving the Investigation of Homicide and the Apprehension Rate of Murderers, Washington State Attorney General Office.

87–IJ–CX–0007. Drug Abuse and Misconduct During Pretrial Release, Temple University.

87–IJ–CX–0001. An Experiment on the Use of Day Fines in Criminal Court, Vera Institute of Justice.

86–IJ–CX–0046. Evaluation of Mental Health Expert Assistance for Indigent Defendants, National Center for State Courts.

85–IJ–CX–0044. Reducing Trial Time, National Center for State Courts.

85–IJ–CX–0005. The Effects of Sentences on Subsequent Criminal Behavior, State of New Jersey Administrative Office of the Courts.

One of the cornerstones of the Nation's strategy to reduce consumer demand for illegal drugs is to hold the user accountable for continued drug use. For the criminal justice system, intolerance of drug use by defendants free in the community awaiting trial or by convicted offenders under probation or parole supervision is a key feature in decreasing victimization. The National Drug Control Strategy calls for drug testing of offenders at all points of the system to monitor their behavior and curb their propensities for crime. Through urine testing, drug use among persons under community supervision can be quickly detected and appropriate interventions applied.

This program is designed to support investigations using *experimental* research designs to examine the effectiveness of drug testing, treatment programs, and punitive sanctions to reduce criminal behavior and drug use among persons under pretrial release or convicted offenders under community supervision.

Research findings have established many links between drug abuse and criminality. In 1988, from 50 percent to 85 percent of those persons arrested in the Nation's largest cities were found to be users of illegal drugs at the time of arrest.[1] Evidence is mounting that the most serious, violent, and repetitive offenders may be those who are the most serious drug abusers.[2] Drug-abusing offenders are more active in crime during periods of high drug use and, conversely, their criminal activity declines during periods of low drug use.[3] Drug-using arrestees appear to have more rearrests and poorer behavior prior to trial than do arrestees who test negative for drugs.[4] Similarly, probationers who are drug users are arrested more often than nonusers.[5]

Today, 75 percent of the Nation's convicted offenders—three out of four—are supervised in the community.[6] Due to heavy caseloads, the offender will often receive little supervision while on the street. This allows the drug-abusing offender to continue the pattern of drug use and associated criminal behavior. If, as suggested by research, the drug-using offender accounts for a high proportion of the criminal activities of those being supervised in the community, a reduction in community risk might be possible if users were identified as high risks and measures were taken such as more restrictive supervision, imprisonment, or intensive treatment.

Prior to urine testing it was virtually impossible to monitor drug use validly and reliably, as neither identification of the drug user by a criminal justice professional nor self-report by the offender are dependable means of identifying drug users.[7] Furthermore, previous NIJ research has suggested that, for those on pretrial release, periodic urine testing can be used as an early warning system to separate drug users who are greater risks of violating their conditional release from those who pose lesser risk; defendants who fail to report for a single urine test have been found to "signal" that they are poor risks who should be targeted for immediate intervention.[8]

Once an offender being supervised in the community is identified as a user, the problem becomes one of deciding how best to exercise control to prevent continued drug use and criminal activity.

Drug testing in community corrections

Random urine testing alone *may* reduce drug use by offenders while they are under supervision, particularly if drug use is followed by an immediate sanction. While some offenders might respond to increased supervision and monitoring alone, others might benfit from specific types of treatment programs such as therapeutic communities or counseling.

One option in managing the offender who uses illegal drugs is to require him or her to participate in a treatment program. Offenders who are required as a condition of parole to participate in drug treatment are found to stay in treatment longer, and drug use declines as a function of the length of treatment.[9] The optimal length of time different types of offenders should continue to be legally supervised if relapse is to be prevented is yet to be determined. A related issue is whether changes that occur are relatively permanent or merely temporary changes in the behavior of offenders.

Scope

The National Institute of Justice is soliciting research proposals to study the effectiveness of urine testing, alone or in combination with alternative interventions, in cutting future crime by reducing demand for drugs by defendants or convicted offenders on probation or parole.

The intervention proposed to be tested may include some combination of treatment, criminal justice controls such as house arrest or electronic monitoring, urine testing, and punitive sanctions for drug use during community supervision.

The method for identifying drug users and nonusers, and the rationale for determining the eligibility of individuals for specific interventions must be explained in detail in the proposal. The design of the proposed research must be experimental, incorporating the random assignment of subjects to conditions. This design permits the most reliable comparisons.[10] The random assignment of subjects to conditions should be fully described in the proposal.

Offenders chosen as eligible subjects in the study need not be identified solely on the basis of a positive urine test. In part, proposed studies should be designed to examine whether urine monitoring, supervision, and treatment can be effective in reducing drug use and its associated criminal activity in users as well as deter drug use by offenders who are nonusers or past experimenters.

It is expected that only identified drug users would be placed in treatment programs. Currently, most drug users must wait long periods before admission to treatment programs. One research question of interest to NIJ is whether urine testing, alone or coupled with criminal justice sanctions, is an effective alternative to treatment for offenders in the community.

The proposal should describe the type of urine testing technology and the mode of confirmation to be used. Procedures for the timing and frequency of urine testing should be fully described. If required by the study design, technical assistance will be available to aid in the development of a randomly administered, dial-in system of urine testing.

Offender failure to comply with the test schedule should trigger a sure response on the part of the criminal justice system.

The number of positive tests to be allowed, if any, before such a sanction is imposed must be discussed in detail. The sequence of rewards and punishments planned as responses to compliance or noncompliance with the requirement to stay drug free must likewise be outlined in detail.

Other aspects of the research design, the hypotheses to be tested, the data analysis procedures, and the type of treatment programs studied are left to the ingenuity of the applicants. Cooperation among the researchers, treatment personnel, and the criminal justice agency is essential for successful completion of this research, and applicants should be as explicit as possible about the degree of support for the research that can be expected from these groups.[11]

Women make up approximately 16 percent of those being supervised on probation. There is reason to believe that their drug use and effective interventions may be substantially different from men. Therefore, applicants are encouraged to include women as a separate factor in their designs or to propose studies examining the effect of customized interventions for women probationers.

In summary, the purpose of this research is to study the effectiveness of urine testing, *alone or in combination with* criminal justice interventions, treatment interventions, or both, in reducing drug use, criminal behavior, or both by offenders under community supervision. To be considered for funding, proposals must—

- Specify an experimental design with random assignment to intervention and control groups.
- Include urine testing as a monitoring test.
- Focus on defendants or offenders under community supervision.
- Specify the specific sanction or series of sanctions that will be applied to offenders who fail to remain drug free.

Experimental design and review process

Three main points to be considered in the proposal review are—

- The technical merit of the proposal or to what extent the proposed experiment will contribute to our understanding of the most effective intervention for drug-abusing offenders.
- Whether the experimental design as described in the proposal is both methodologically sound and feasible to implement.
- Whether the costs of investing in this research project are reasonable.

A Program Review Team consisting of individuals prominent for their work on one or more aspects of the problems being investigated in this program will be appointed by the Director of the National Institute of Justice. The team members' primary responsibility will be to assist in technical monitoring of the program's implementation and to recommend to NIJ changes in program structure that might prove advisable. They will advise NIJ on a variety of design issues, including the appropriateness of eligibility criteria, randomization procedure, treatment alternatives, measures of treatment delivery, outcome measures, and analysis plans.

It is expected that twice a year there will be a 2-day meeting of senior researchers and operational personnel on all projects sponsored under this program, the NIJ Program Manager, and the Program

Review Team. Dates and locations of the meetings remain to be determined. All applicants should include in their budget estimates $1,000 for travel to these meetings during each 6-month period of their project. The explanation in the budget narrative should state that this is a standard NIJ estimate to cover expenses of travel to the biyearly program conferences, as directed in the program solicitation.

Multiphased projects. It is anticipated that up to four awards will be let as the result of this competition. Institute policy limits grant awards to efforts requiring 2 years or less. Efforts requiring more than $250,000 or more than 2 years to complete should be designed in phases. In such cases, the program narrative submitted in response to this solicitation should describe the complete research project, but the sequence of project activities should establish clearly which activities will and which will not be accomplished under an initial award.

Funding of the first phase of a project, however, does not guarantee support for subsequent phases. Continuation awards will depend heavily upon the successful implementation of the initial phase. Proposals for subsequent funding will be reviewed by the Program Review Team and peer reviewers.

Program coordination. NIJ is considering the feasibiity of collecting a limited number of common data elements at each site. This decision will be reached after extensive consultation with each project and the Program Review Team, but it is anticipated that this would require some accommodation on the part of each project. Investigators will be encouraged to share data collection instruments and codebooks. In order to monitor project implementation and to assess the risk of technical failure in the course of the experiment, projects may occasionally be required to supply NIJ and the Program Review Fund with samples of the working data.

Such early data sharing is intended solely to assist NIJ in its responsibilities regarding the future direction of this program. Award recipients retain the responsibility for data collection, data analysis, and of course, for the interpretation of their own research findings. Complete data files from the *finished* research must be submitted to NIJ for public archiving, according to standard NIJ requirements.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Drug Testing in Community
Corrections Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m., March 30, 1990. Extensions of this deadline will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Doris L. MacKenzie, Program Manager, at the above address, or contact her at 202–724–7460. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. MacKenzie to discuss it with her

before undertaking the considerable effort required to prepare a proposal that would be competitive.

Notes

1. Eric D. Wish, Mary A. Toborg, and John P. Bellassai, *Identifying Drug Users and Monitoring Them During Conditional Release*, National Institute of Justice, *Issues and Practices*, February 1988.

2. Jan M. Chaiken and Marcia R. Chaiken, *Varieties of Criminal Behavior*, Santa Monica, RAND, 1988. B.D. Johnson, E.D. Wish, and D. Huizinga, "The concentration of serious drug involvement in high-rate delinquency," paper presented to the American Society of Criminology, Denver, Colorado, November 1983. E.D. Wish and B.D. Johnson, "The impact of substance abuse on criminal careers," in *Criminal Careers and "Career Criminals,"* ed. A. Blumstein et al., Washington, D.C., National Academy Press, 1986: 52–88.

3. M.D. Anglin, "The efficacy of civil commitment in tracking narcotics addiction," *Journal of Drug Abuse* 18 (1988): 527–545. W.H. McGlothlin, M.D. Anglin, and B.D. Wilson, "A followup of admissions to the California Civil Addict Program," *American Journal of Drug and Alcohol Abuse* 4 (1977): 179–199. J.C. Ball et al., "The criminality of heroin addicts when addicted and when off opiates," in *The Drug Crime Connection* ed. J. Inciardi, Beverly Hills, Sage, 1981: 39–65.

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10. R.O. Lempert and C.A. Visher, "Randomized field experiments in criminal justice agencies," Washington, D.C., National Institute of Justice, October 1988. J. Petersilia, Implementing Randomized Experiments: Lessons From BJA's Intensive Supervision Project, Santa Monica, RAND, 1989.

11. J.H. Garner and C.A. Visher, "Policy experiments come of age," *NIJ Reports* 199 (September-October 1988).

Public safety and security

Public safety and security involve reactive and proactive police responses to crime and disorder. The focus of this National Institute of Justice program is proactive policing in its broadest form. The program stresses innovative forms of policing, including the coordination of law enforcement efforts with the actions of community groups and other public and private agencies concerned about problems of crime, drugs, and disorder in the community.

Issues of public safety and security are growing concerns. This is especially true for the drug abuse problem and its pervasive effects on the maintainance of order in our society. In the past, police departments limited their role to responding to calls for service, placing less emphasis on community disorder, which usually engendered an increased fear of victimization. Police policy today must concern itself with crime and fear, as they influence the quality of life in a community.

Police are vital as managers of a community's level of safety and security. Through proactive efforts, police can solve real crime problems and serve as a catalyst in developing a comprehensive approach to the prevention and control of crime. Strategies to prevent and reduce crime and to reduce fear through efforts involving the police, citizens, and community groups are the focus of police research today.

Research indicates that the public's concern about crime is well-founded. Violent crime reported nationwide in 1988 rose 5.5 percent over 1987 and property crime increased 3 percent during that period. One household in four can be expected to be victimized by crime each year, and during their lifetime, five out of every six Americans will become victims of violent crime. The economic impact of crime is also substantial. In 1988, our society spent an estimated $51 billion at all levels on public crime control efforts along with about $43 billion on private security protection.[1] The direct costs of crime to victims was estimated to be almost $15 billion in 1987.[2]

No problems are more difficult in comparing the cost effectiveness of alternative policies than the identification and measurement of relevant costs. Assessments are too often confined to personnel costs, with little attention to the costs of equipment and training or managerial and administrative demands. Costs that policies impose on other criminal justice agencies or other social services are rarely considered. Victim costs and lost tax revenues are assessed even less frequently. If a goal of the criminal justice system is to improve the general welfare of the society, then a broader perspective on the cost implications of policies must be encouraged. Further research on the conceptualization and measurement of costs is encouraged in this process.

Clearly the level of drug-related crime and especially violence and drug use is of major concern to the public and to law enforcement. The Drug Use Forecasting program (DUF) reports that a high percentage of those arrested for serious crimes used illegal drugs.[3] The Drug Abuse Warning Network (DAWN), which includes 27 of the Nation's largest metropolitan areas,

reports that deaths involving cocaine use rose by 400 percent from 1976 (153 deaths) to 1985 (615 deaths).[4] Reports of juvenile gang activities show that growth and expansion in some parts of the country has led to more violent tactics in their campaigns to protect "turf."[5]

One answer to the growing drugs and crime problem is "co-production." This concept involves the cooperative efforts of the police, the public, and the private sector and is a growing phenomenon in the United States. By working together, these three groups can aim their resources at a variety of crime problems. For example, the South Seattle Crime Prevention Council is a police–community–city council partnership aimed at halting neighborhood decay and its associated crime and drug problems. The Westside Command Station in Houston is linking police resources more directly to neighborhoods in order to encourage more comprehensive and effective crime control efforts. In Oakland, business groups, private security, and police have worked together to clean up and revitalize the city's downtown area.

Through co-production the public sector and private enterprise reap benefits in an efficient manner.

SCOPE

New philosophies of policing are emerging that emphasize more effective police-citizen interaction and police attention to neighborhood problems that citizens view as priority concerns. These forms of problem-oriented and community policing enable the police to use a variety of resources in dealing with crime and fear.

This solicitation requests proposals that will develop models to integrate police, citizens, and private sector resources in a more effective manner. Problems of drugs and drug-related crimes are a priority concern. In addition, there is interest in improving the effectiveness and efficiency of police services and operations that impact on public safety. Experiments, case studies, observational research, and ethnographies are specifically encouraged.

Co-production of public safety and security. Co-production strategies can be particularly important in reducing the impact of drugs and crime on community life. Of special interest are the procedures that police can employ as a catalyst for action involving community groups and the private sector.

Limited public funding for police is beginning to create vacuums of police service that are being addressed more and more by private security. An ongoing NIJ assessment is seeking to determine the current status of private security and the changes that have occurred in this area in the last 10 years. Research is needed to develop the basis for a more useful division of labor as well as a more effective means of collaboration and information sharing between police and the private security industry as they deal with crime problems in commercial and residential settings.

Evaluations of the effectiveness of private security operations on crime displacement and deterrence, and case studies of successful projects such as the Oakland center city project, are also of interest.[6]

Drug enforcement. A great variety of innovative and traditional street-level enforcement strategies have been implemented by police to address the growing drug problem in the United States. These efforts involve "crackdowns," "buy-busts," sting operations, the use of civil abatement procedures, increased use of asset seizures, and the use of

"drug hotlines." In addition, the ideas of problem-oriented and community policing have been brought to bear upon the drug trafficking problem. All of these strategies focus on decreasing the supply of and demand for narcotics and on improving the quality of life in residential and business communities.

Little is known, however, about how well these drug enforcement strategies work. Which strategy is the most effective in shutting down drug markets? How do these tactics affect supply and demand within the drug market? How much drug trafficking is displaced by street sweeps and saturation policing? What is the deterrent effect of such strategies? Did the strategy that worked in one section of the city necessarily work in a section across town? What are the effects of these strategies on the quality of life in communities and neighborhoods?

These same questions may apply to other drug enforcement efforts. In public housing developments, for example, law enforcement, housing authorities, and citizens engage in a number of strategies to combat drug trafficking. How effective are those strategies? What is the outcome of the interventions? Research proposals are encouraged that focus on the interaction of public safety officials, citizens, housing authorities, private security, and other municipal agencies.

Another area of research involves gangs, drug distribution, and police intervention. What is the nature of gang activity? What are the law enforcement strategies for dealing with gangs? Which strategies are the most effective? Are special tactics needed to address particular operations of particular gangs? How do the strategies differ? What can police do about the different types of violence that emerge with gangs and drug trafficking?

Community policing. Recent National Institute research has examined community-oriented and problem-oriented policing. These proactive approaches to reducing crime, fear, and urban disorder have developed in a number of jurisdictions across the country. NIJ continues to be interested in community policing and its implications for police management, crime reduction, and public and private sector involvement. A number of research questions continue to abound:

To what extent has community policing penetrated the behavior, culture and training of the police rank and file and police administrators? How does the philosophy of community policing affect decisionmaking and police behavior? How do police administrators measure or quantify the performance of police officers involved in community policing? What are the effects on neighborhoods and communities themselves? How do these forms of policing affect specific community problems? How can community policing strategies most effectively impact the drug problem in America's cities?

Research proposals that use experimental designs and observational methods are specifically encouraged.

Police efficiency and effectiveness. Research can be useful to police both in carrying out traditional police services and in uncovering newer forms of smarter policing. Reduced resources imply that police need to work smarter, not necessarily harder, and research can be useful here. For example, NIJ has funded an effort in the Los Angeles Police Department that employs computer technology to enhance the development and use of information by police. Computer technology has also been employed in crime analysis and the mapping of neighborhood crime patterns. This has promoted more effective interaction between police and citizen groups in the development of tactics for dealing with drugs, crime and disorder.

Research on the use of these new tools in innovative programs could provide departments with the potential to use

manpower more effectively in dealing with a variety of problems. Computer-based "expert" systems, such as those being explored for burglary investigations by the Baltimore County Police Department, can also provide more efficient police operations.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Research Program on Public Safety and Security
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on the dates specified for each cycle. This program's first cycle deadline is January 26, 1990. The second cycle deadline is May 25, 1990. Extensions will not be granted.

To obtain further information about this solicitation, researchers may write to George Shollenberger, Program Manager, Public Safety and Security, at the above address, or contact him at 202–724–2956. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Mr. Shollenberger to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

1. William Cunningham and Todd Taylor, *The Hallcrest Report: Private Security and Police in America*, Chancellor Press, 1985.

2. Bureau of Justice Statistics, "Criminal Victimization in the United States, 1987," June 1989.

3. "Drug Use Forecasting (DUF): April-June 1988," National Institute of Justice, November 1988.

4. National Institute on Drug Abuse, *Data From the Drug Abuse Warning Network: Annual Data 1986*, NIDA Statistical Series I, No. 6, Rockville, Maryland, 1987.

5. "Drug trafficking: A report to the President of the United States," comp. The United States Attorneys and The Attorney General of the United States, August 3, 1989: 16–38.

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89–IJ–CX–0008. Automated Reporting System Pilot Program,

89–IJ–CX–0002. Private Security: Issues and Trends.

88–IJ–CX–0050. The South Seattle Crime Reduction Project.

88–IJ–CX–0003. Impact of Crime on Neighborhood Business Viability, Northeastern University.

87–IJ–CX–0062. Evaluation of Madison's Experimental Police District, Police Foundation.

87–IJ–CX–0055. Neighborhood Oriented Policing, Houston Police Department.

87–IJ–CX–0010. Evaluation of Community Crime/Problem Resolution Through Police Directed Patrol, Research Management Associates.

87–IJ–CX–0006. The Community Patrol Officer Program, Vera Institute of Justice.

86–IJ–CX–0074. Mapping Crime in Its Community Setting, Chicago Police Department.

Punishment and control of offenders

The Nation's capacity to punish criminals and deter future offending has been greatly diminished by the lack of prison and jail space. Although State prison capacity increased 35 percent in the period 1985–86,[1] the need remains for additional space. In 1988, State prisons were operating between 107 percent and 123 percent of their reported capacities, and the number of prisoners serving terms of a year or more in State prisons totaled 561,190, a record high. The increase in rate of females committed to State prisons exceeded the rate of male commitments to State prisons.[2]

Probation and parole populations have also set records in the past half-decade. At the end of 1987, the year for which most recent figures are available, 2,604,245 State and Federal offenders were on probation or parole, or 75 percent of the total number of persons under correctional supervision.[3]

Until prison and jail capacity is increased commensurate with need, corrections administrators are faced with the problem of controlling large numbers of offenders in prison and the community, a problem compounded by the excessive number of offenders who are drug users,[4] and by the lack of prison or jail space to punish those offenders under community supervision who fail to conform to the conditions of their release.

In the past few years, corrections administrators have developed a number of alternatives to the dichotomous choices of incarceration or minimal community supervision. Newly developed options range from high technology practices such as urine testing and electronic monitoring to nontechnical programs such as intensive supervision and short-term "shock incarceration." The National Institute of Justice has focused much of its research on the evaluation and development of intermediate sanctions. While this research has contributed significantly to improved practice, much remains to be done.

In 1990, the Institute is seeking proposals that will lead to improved practices for controlling offenders in both the prison and the community and to improved methods for weighing and selecting policy options for controlling and punishing offenders.

Scope

The problems caused by prison and jail crowding affect both community and institutional corrections, creating opportunities for innovation at both the operational and administrative levels.

Community corrections. NIJ research in community corrections is directed primarily at improving operational practices, reducing victimization, and expanding the range of punishment options between incarceration and unsupervised probation. In particular, the National Drug Control Strategy calls for a range of flexible sanctions capable of dealing with the high volume of cases confronting the courts today. Further research is needed in the effectiveness of house arrest, in the use of electronic monitors for supervising felons, and, building on a successful pretrial super-

vision program in Washington, D.C., in the use of drug testing to improve supervision of offenders on probation. Other operational practices that require further research include innovative sanctions for casual users and juveniles, intensive supervision, shock incarceration, split sentencing, and community service.

In all research directed at improving correctional operations, controlled experiments or quasi-experiments are the preferred research designs for testing program effectiveness.

The National Institute is also interested in receiving proposals that explore the conceptual and legal issues of applying DNA technology in corrections. Collections of DNA data from convicted offenders may serve as a deterrent of future offending if the released person is aware that such information specific to him is in the DNA data banks.

Institutional corrections. Previous or continuing NIJ research in institutional corrections has centered on such issues as improving classification systems to reduce prison violence, assessing the role of prisons administered by private corporations, and evaluating the impact of selected prison programs such as vocational training. Although proposals to conduct research in all aspects of institutional corrections will be considered by the Institute, the following have been identified by corrections professionals as areas of concern: the rising cost of medical care in prisons and the continued development of prison industrial programs.

As in the larger society, the costs of prison medical care have grown in the past half-decade. Prison administrators must not only cope with current cost increases, they must also begin planning for medical care for an aging inmate population that is serving long terms, and they must also plan for the very expensive treatment of the small number of inmates suffering from AIDS. Options of particular interest include establishment of interjurisdictional medical facilities, establishment of interjurisdictional and publicly funded group health insurance programs, and further research into the issues surrounding contracting with private health insurance or health services providers.

Employment of prison labor by privately owned companies is one of the most promising recent developments in corrections. While it is unrealistic to expect the private sector ultimately to achieve full employment through recourse to the Nation's prisons, significant further expansion in prison industries may be possible. Of particular interest are proposals that examine potential markets and product lines for prison industries that do not compete with nonprison industries, such as recycling of metal or plastic or glass waste products, the manufacture of environmentally safe agricultural fertilizers, and the manufacture of low-tech products useful for rural populations such as household water purifiers or solar cooking stoves.

Management of correctional systems. The administration of corrections, whether at the system level or at the level of an individual prison or halfway house, has become increasingly more complex as managers have attempted to use scarce resources rationally to control growing and more varied corrections populations. In making decisions regarding resource allocations, correctional administrators need more information in three interrelated areas: (1) the application of computer technology to corrections management, (2) empirically derived measures of correction performance, and (3) methods for computing the costs of alternative policies.

Application of technology. The nature of corrections, like all professions, is being changed by the application of new

technologies. At the operations level, new technologies such as video surveillance and automated security systems are being used to improve institutional security, while electronic monitors and drug testing are providing greater public safety in community corrections. The common attribute of most such technologies is that they produce information, in the form of data or signals, that must be processed by a computer to be useful. As experience with drug testing programs has demonstrated, the greatest difficulty in supervising released defendants lies in the timely processing of voluminous data, not in the testing itself.

At the management level, computer technology is being used to classify individual offenders for the risk they pose in prison or the community, for assigning offenders to appropriate facilities or levels of community supervision, for projecting construction needs and resource requirements. Information is needed about how technologies, particularly computer technologies, are being applied in all areas of corrections and, in particular, areas in which technologies could be applied to improve practice or management. The potential application of new decisionmaking software to correctional administration is of special interest.

Specific measures of correctional performance. Public policymakers and corrections professionals have historically used a single criterion to judge the success of a policy or program: recidivism. While recidivism is the single most important measure that potentially can be used to guide policy or program outcomes, it is not the only useful measure. As computer technology has progressed, new statistical techniques have been developed that may be useful in further refining the general, dichotomous measure—recidivism—into more detailed and precise outcome criteria. The use of survival models, for example, could provide information on time to recidivism, frequency of postrelease criminal activity, and years remaining in a criminal career, all of which is information that could be useful in classifying offenders by the risk they pose to public safety. Current NIJ research is using survival analysis to analyze a large data set to identify what types of programs have had a positive impact on what type of offender. Similar analyses of other data sets is needed in order to develop the decisionmaking tools that policymakers and administrators need.

Costs of alternative programs. There is probably no problem in corrections more difficult or more important than how to define and measure the financial and social costs of differing policies and practices. The difficulty stems from uncertainty over which factors should be included in any calculation, as well as differing perspectives on how to define and measure these factors. Of concern to NIJ is that earlier attempts to measure costs have not assigned sufficient weight to the factor of victimization: the financial and social losses incurred by crime victims. Until the factor of victim losses is included, any comparison of the costs of differing policies will be inadequate. Further research in the development of means of measuring costs is needed.

New initiative: Female offenders. The National Institute of Justice also invites proposals to conduct research in a rapidly growing but overlooked corrections population: the female offender. There is evidence that the nature of female offenders has changed in the past decade: the number of females convicted of violent offenses appears to have increased, and drug use, particularly injection of drugs, is proportionately greater among female than male offenders. In both community and institutional corrections, research is needed on the nature of female criminal careers, on classification systems that are based on analysis of female offender populations,

and on the identification and evaluation of female prison and community-based programs. This NIJ initiative is congruent with a complementary program sponsored by the National Institute of Corrections.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Research Program in Punishment
and Control of Offenders
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice before 5 p.m., February 9, 1990, for Cycle 1, and before 5 p.m., June 1, 1990, for Cycle 2. Deadlines will not be extended.

To obtain further information about this solicitation, researchers may write to Voncile Gowdy, Program Manager, Punishment and Control of Offenders Program, at the above address, or contact her at 202–724–2951. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Ms. Gowdy to discuss it with her before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

1. Bureau of Justice Statistics (BJS), *Prisoners in 1985*, *Prisoners in 1986*, BJS Bulletins.

2. BJS, *Prisoners in 1988*.

3. BJS, *Probation and Parole, 1987*, BJS Bulletin.

4. National Institute of Justice (NIJ), *Drug Use Forecasting*, fourth quarter 1988.

89–IJ–CX–0005. Evaluation of the Oklahoma Department of Correction's Electronic Monitoring/House Arrest Program, National Council on Crime and Delinquency.

88–DD–CX–0026. National Study of Shock Incarceration Programs, Louisiana State University and Agricultural and Mechanical College.

88–IJ–CX–0030. Law Enforcement Executive Management (LEEM) Profile, New York City Department of Corrections.

88–IJ–CX–0041. Evaluation of Release Strategies Used for Managing Texas Prison Population, University of Texas–Austin, Department of Sociology.

88–IJ–CX–0052. Experimental Assessment of the Application of Home Detention, Indiana University.

87–IJ–CX–0014. Reducing Prisoner Violence Through More Effective Classifications Management, National Council on Crime and Delinquency.

87–IJ–CX–0020. The Impact of Intensive Incarceration in Louisiana, Louisiana State University.

87–IJ–CX–0023. Evaluation of the Florida Community Control Program, Florida Department of Corrections.

87–IJ–CX–0027. Analysis of the Cost Effectiveness of Private and Public Correctional Facilities, Urban Institute.

86–IJ–CX–0040. Electronic Surveillance of Work Furlough Inmates, San Diego Association of Governments.

It is the crime victim's cry for help and for justice that initiates the criminal justice system's response; it is the crime victim's willingness to report, identify, and testify that heavily determines the success of criminal investigations and prosecutions. The victim gives the criminal justice system (CJS) its standing, its moral and legal authority to act. The criminal justice system should give more attention to restoring the victims to wholeness, and decreasing the probability of future victimization. Victims who expose themselves to the complexities and rigorous discipline required by the CJS are too often poorly treated by a system that seems more concerned with the accused than with them. Victims may feel that the offender is treated too lightly and is too soon back on the street. This creates a climate of opinion in which the CJS is seen by victims as impotent and irrelevant, not worth their involvement. Lack of cooperation by victims and witnesses has become a major cause of felony case attrition.

Research conducted by the National Institute of Justice has revealed that for far too many victims, involvement with the criminal justice system has constituted a form of "secondary" victimization. In such a climate, without the victim's cooperation, the offender gets off free while feelings of fear, vulnerability, and need for self-protective measures sweep over the community.

Institute research has played a central role in the reshaping of public thinking and public policy related to victims of crime. Institute projects have provided legislators, criminal justice planners, and practitioners with new information on the effects of crime on victims, on the success of programs to help victims deal with the impact of crime, and on ways to assist victims who are involved in the criminal justice process. For example, we have conducted a review of the 39 States that have enacted Victim Bill of Rights notification, consultation, and influence on case outcomes; and of the 35 States with legislation authorizing Victim Impact Statements at sentencing or parole release proceedings. The research shows that despite the best intentions of the legislation, roughly half the victims remain dissatisfied with case outcomes and with the CJS as a whole.[1]

How the criminal justice system responds to victims is cumulative in effect, especially since there are more of them each year. Criminal victimization in the United States, as measured by the National Crime Survey, increased 1.8 percent in 1987 over 1986, thus reversing a 5-year trend of falling crime between 1981 and 1986. The Bureau of Justice Statistics estimates that 34.7 million personal and household crimes were committed during 1987, and that 24 percent of U.S. households were touched by crimes of violence or theft in the same year for a total of 23 million households. These figures do not include crimes against businesses, which in 1987 included 109,000 robberies and over 951,000 burglaries reported to police. Moreover, violent crime, as measured by the FBI Uniform Crime Reports, increased 30 percent from 1979. Violent crime nationwide reported in 1988 rose 5.5 percent over 1987 to a new high of 1,560,000 violent crimes. Property crime increased 3 percent over 1987 for a total of 13,900,000.[2]

Over an entire lifetime, at current crime rates, five-sixths of us will be victims of personal theft at least three times and be victims of violent crime at least once.

Victims of crime

Half of all urban households will be victims of two or more burglaries in a 20-year period. Criminal homicide is one of the 15 most frequent causes of death, and, for the 15- to 34-year age group, it is second only to accidents as a cause of death during those years. These are national rates. For some subpopulations, rates are considerably higher. And while large cities still have a violent crime rate that is 57 percent higher than small cities, violent crime is growing three times faster in small cities than in large ones, according to analysis of the latest FBI statistics. Murders, rapes, aggravated assaults, and robberies increased 8.2 percent in cities of 100,000 to 150,000 versus 2.5 percent in cities of more than 500,000. Nationwide, 28 percent of Americans state that they would be afraid to walk alone at night within a mile of their own homes.[3]

Another place where citizens are victimized by crime is in their pocketbooks. In addition to the uncompensated medical and property loss costs of victimization, citizens are taxed to support the police, courts, and corrections systems. They pay for the locks, alarms, lighting, and private security that they need to protect their homes and neighborhoods. And as consumers they pay for the ever-mounting security expenses, insurance premiums, and pilferage losses that are a fact of life for business today.

Scope

In its research on victims of crime, the Institute plans to continue its efforts to better understand the process of how and why criminal victimization occurs and what measures can be taken to assist victims and secure their rights. The aim is to reduce the level of victimization in the first instance, as well as to restore the victim to wholeness, a sense of justice, and a life of contributing to society as much as possible. We also wish to understand how policies and the decision-making process in the CJS can sometimes act to worsen the effects of victimization.

Over the past 20 years or so, victimology has greatly enlarged our knowledge of how the characteristics of victim and offender, and the effects of time and place, result in particular types of crime.[4] We also know more about the aftermath of victimization: medical, economic, behavioral, and psychological,[5] the usual forms of response to victimization, and the characteristics of those who do and do not seek help through established victim assistance programs. There is some question, though, about our progress in understanding the process of victimization well enough to reduce the amount of victimization. It has been argued that we need better studies of the criminal event itself and the environment in which it occurs,[6] as well as the daily activities of the victim and offender, all of which come together in the victimization experience.[7] We have also witnessed the incorporation of perspectives from situational crime prevention,[8] offender travel and decisionmaking,[9] and lifestyle/routine activities, among others. More victim-non-victim comparisons may be needed to highlight risk factors subject to change in terms of activities, preventive behavior, places visited, etc.

Clearly there are many important questions yet unanswered. It is imperative that the academic research community through teaching and research gets involved in expanding our knowledge re-

garding victimization and the most effective ways of handling victim needs.

We need to continue our examination of how the CJS's response to victims affects the victim's recovery and willingness to become involved with the CJS in the future. The impact of victim compensation and restitution also merits attention both with respect to the response of victims and that of the CJS. Another aspect of this is the possibility that the CJS may create more victims by its policy of releasing dangerous offenders back into their communities. There is also interest in current CJS priorities and methods of dealing with victims and offenders in cases of consumer fraud, white collar crime, and other property crimes.

Other possible research areas that appear to be relevant and worthy of more attention include the growing emphasis on community criminal careers,[10] and the employment or community contexts of individual or collective forms of victimization.[11] Studies of collective victimization may lead to more effective individual and collective responses as well as policies to reduce risk. Effects of CJS practices and policies on the community are also of interest.

Program of research

Research proposals are sought in the following topic areas:

1. Studies of the causes of victimization, including consideration of routine daily activities and environmental characteristics as factors in the victimization of persons and property. Studies integrating individual-level and organizational or community-level factors in victimization. Studies of relationships between networks of victim and offender populations in community, school, or other contexts.

2. Studies to determine how to develop better measures of the aggregate costs of criminal victimization, including but not limited to its financial, medical, behavioral, psychological, and social dimensions. Both immediate and longer term consequences should be considered. Examination should be made of relevant research literatures, but also of the results of appropriate malpractice and liability litigation. The aim is the development of valid and defensible estimates of the complete costs of victimization, so that public policy can no longer treat criminal victimization as an "externality" when assessing and budgeting for criminal justice policy alternatives.

3. Studies of more effective ways to provide services to victims, system changes and responses that could support victims. Examples include a study of the legal remedies that victims can take against perpetrators of violent criminal acts, new approaches to servicing previously underserved victims, victim compensation and restitution. Studies of more effective ways to increase victim involvement in decisions affecting case processing and outcomes, such as parole, victim compensation, restitution, plea bargaining, and sentencing. Studies of the effect of offender release programs on individual and community victimization, and of more effective ways to increase victim involvement in all stages of the criminal justice process. Studies of policies, rules, and laws that hinder or enhance victim participation in the justice system or improve services to victims.

4. Studies of the nature and amount of victimization by drugs and violent crime and the financial, emotional, and social

costs to the individuals and communities. The studies should address the needs of individuals, families, and communities in coping with their victimization. Studies of the relationship between drugs and the crimes of child sex abuse, pornography, and prostitution are also of interest, as is the impact of AIDS on victims of violent crime.

5. Studies of victimization by consumer fraud, white collar crime, and burglary and other property offenses. The studies should include the effects of these crimes on victims, the system's response, and models for effective victim assistance information, services, and procedures.

DEADLINES and further information

Ten (10) copies of fully executed proposals should be sent to:

Research Program on Victims of Crime
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on the dates specified for each cycle. This program's first cycle deadline is February 2, 1990. This program's second cycle deadline is May 25, 1990. Extensions will not be granted.

To obtain further information about this solicitation, researchers may write to Richard M. Titus, Ph.D., Program Manager, at the above address, or contact him at 202–724–7686. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Titus before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

1. 86–IJ–CX–0049 (S–1), Victim Rights Legislation: An Analysis of Its Impact, American Bar Association; 86–IJ–CX–0001, The Authorization and Implementation of Victim Impact Statements, SUNY at Albany.

2. Bureau of Justice Statistics, *Report to the Nation on Crime and Justice*, second edition. 1988. Roper Poll, 1987. *USA Today*, April 4, 1989.

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4. M.R. Gottfredson, "Substantive contributions of victimization surveys," *Crime and Justice* 7 (1987).

5. P. Mayhew, "The effects of crime: victims, the public, and fear," in *Council of Europe, Research on Victimization*, 1987; American Psychological Association, Task Force on Victims of Crime and Violence, *Final Report*, 1984; J. Garofalo, "The fear of crime: causes and consequences," *Journal of Criminal Law and Criminology* 92, 2 (1981).

6. W.G. Skogan, "Assessing the behavioral context of victimization," *Journal*

of Criminal Law and Criminology 72,2 (1981); R. Sampson and J.D. Wooldredge, "Linking the micro and macro level of dimensions of lifestyles—routine activity and opportunity models of predatory victimization," *Journal of Criminal Law and Criminology* 3, 4 (1987).

7. M.G. Maxfield, "Lifestyle and routine activity theories of crime," *Journal of Quantitative Criminology* 3, 4 (1987).

8. R.V. Clarke, "Situational crime prevention," *Crime and Justice* 4, 1983.

9. P.J. Brantingham and P.L. Brantingham, "A theoretical model of crime site selection," in *Crime, Law and Sanctions*, ed. M.D. Krohn and R.L. Akers, Beverly Hills, Sage, 1978; D.B. Cornish and R.V. Clarke, eds., *The reasoning criminal*, Springer-Verlag, 1986.

10. A.G. Reiss, Jr., "Towards a revitalization of theory and research on victimization by crime," *Journal of Criminal Law and Criminology* 72,2 (1981); ———, "Why are communities important in understanding crime?" *Crime and Justice* 8 (1986); R.P. Taub et al., *Paths of neighborhood change*, University of Chicago Press, 1984; *Crime and Justice* 8 (1986), entire issue.

11. J.P. Lynch, "Routine activity and victimization at work," *Journal of Quantitative Criminology* 3,4 (1987).

89–IJ–CX–0019. The Victimization of Juveniles and Young Adults: A Longitudinal and Repeated Cross-Section Study, University of Illinois.

89–IJ–CX–0004. Bias-Motivated Offenses: The Victims and the Criminal Justice Response, State University of New York at Albany.

88–IJ–CX–0047. Victim Needs and Victim Programs, Northwestern University.

88–IJ–CX–0004. Victim Impact Statements: Their Effects on Victims and Court Outcomes, Victim Services Agency.

87–IJ–CX–0017. Criminal and Vehicular Homicide: A Study of Surviving Family Members, Medical University of South Carolina.

86–IJ–CX–0085. Tests of Ecological/Activity Theories of Victimization, American University.

86–IJ–CX–0049. Victim Rights Legislation: An Analysis of Its Impact, American Bar Association.

White collar and organized crime

The growing presence of white collar and organized crime in our society has a devastating impact on the stable and effective functioning of the Nation's economy. Moreover, as the extent and pervasiveness of these offenses have become increasingly apparent, they have undermined the public's trust in our political, economic, and social institutions and have promoted a general disrespect for government and law.

In response to these critical problems, Attorney General Dick Thornburgh has targeted white collar and organized crime for priority attention by the Department of Justice. Similarly, the National Institute of Justice established a special research program for white collar and organized crime in 1988. These increased operational and research initiatives are particularly important because the complexity and covert nature of these crimes pose special difficulties for their prevention and control.

Today, some of the most harmful of these crimes have reached critical proportions, contributing to the Nation's most serious economic and social problems and severely draining criminal justice and public resources. For example, the huge profits available from illegal drug trafficking have led to the emergence of violent and sophisticated criminal organizations and networks whose wealth and power have become so great that they defy conventional methods of interdiction and control. The President's Commission on Organized Crime found narcotics trafficking to be "the most widespread and lucrative organized crime activity in the United States,"[1] producing annual revenues of at least $100 billion, more than twice the amount spent for all criminal justice services at all levels of government.

In addition, bank fraud and insider abuse are currently threatening the economic stability and effective functioning of our financial institutions. Federal Deposit Insurance Corporation investigators estimate that internal fraud was the major cause of up to one-third of all bank failures in the past 2 years and the Government estimates that criminal conduct has been involved in 25 to 30 percent of the savings and loan institution failures. In a 1989 study of failed thrifts, the General Accounting Office found "violations of criminal statutes such as false entries, conspiracy, theft, embezzlement, willful misapplication of funds, and fraud . . . [as well as] kickbacks and bribes."[2] These failures could ultimately generate a massive $300 billion debt requiring a public bailout at a cost of about $3,000 per taxpayer.

It is clear that these and such equally serious white collar and organized crimes as money laundering, insider trading, labor racketeering, corporate crime, and public corruption require priority criminal justice attention. In support of these priorities, this program announcement requests proposals for research to improve our understanding of and response to these major national problems and prevent their escalation.

Scope

White collar crime. Although the National Institute's special research program in white collar crime is only 2 years old, NIJ has also supported earlier studies addressing white collar offenses against government, private businesses and industries, and individual citizens. While these studies have initiated important lines of inquiry into major white collar crime issues, many questions remain unanswered, requiring further research attention.

To combat crimes against government, for example, an NIJ study conducted field research on fraud and abuse in Federal benefit programs (such as Medicaid, welfare, unemployment, housing and farm subsidies, and veterans benefits) and suggested methods for improving the detection and investigation of these crimes as well as strategies for preventing them more effectively.[3]

Crimes against businesses have been addressed in a number of Institute projects. For example, survey research on employee theft led to the recommendation of a proactive preventive approach involving a well-articulated policy against theft, publicized sanctions, and sympathetic treatment of employees as a potentially effective means for reducing these white collar offenses.[4] Other business-oriented studies analyzed data from investigative and court records on criminal violations to develop strategies for preventing price-fixing and bid-rigging offenses more effectively and for better detecting them when they do occur.[5]

Among studies addressing crimes against citizens, research has assessed the effectiveness of local economic crime units in assisting individual victims of consumer fraud. Features identified as contributing to successful operations included an organizational independence of these units within the prosecutor's office and a continuing coordination between investigative and prosecutorial staff in developing cases.[6]

More recently, research on money laundering examined the enforcement strategies employed by experienced Federal-level investigators and prosecutors and adapted them to provide guidelines for State and local officials consistent with their particular needs and resources.[7] Since the publication of these guidelines, numerous State and local law enforcement agencies have used them in conducting investigations of local-level drug traffickers, who often launder their illegal profits close to home, where their "clean" cash will be more easily accessible.

The Institute has also completed in-house research on the theft of trade secrets from high-technology industries, a white collar crime which can affect the competitive position of a victimized company both nationally and internationally. This study found that almost half of its sample of high technology companies had been victims of such thefts and that many of these had been victimized multiple times. Most frequently stolen were research and development data and information on new technology, generally by offenders inside the company.[8]

Currently, an NIJ study on corporate crime prosecution is conducting a national survey of district attorneys to determine the types of corporate crimes they handle, successful and unsuccessful prosecution strategies they have used, and their major problems in processing these cases. Based on these findings and indepth onsite case studies in four jurisdictions, the project will provide

guidelines for district attorney offices on effective techniques for prosecuting the various types of corporate crime.

Organized crime. The Institute has a long history of sponsoring research directed toward the improvement of law enforcement detection, prevention, and control of organized crime. In one such study, researchers found that illegal bookmaking and numbers operations in New York City followed the same basic principles of marketing and economics as legitimate business enterprises, creating special opportunities for law enforcement detection and intervention and for the imposition of regulatory controls.[9] For example, findings showed that the need to advertise their goods and services to potential customers made these gambling operations vulnerable to law enforcement detection and that the need to keep records of payments received and owed created a "paper trail" that could provide evidence for successful prosecution.

Other studies have used this business and marketing model to suggest strategies for detecting and controlling organized crime corruption of legitimate industries as well.[10] For example, a study of the waste disposal industry in Long Island found it to be dominated by an organized crime-controlled cartel that allotted territory to each cartel member and prevented other businesses from competing for their customers. Therefore, regulatory and financial, rather than exclusively criminal justice, remedies were suggested to facilitate new (noncartel) business entry into the market and thus reopen it to competition.[11] New York City officials have announced plans to implement these study recommendations in an effort to eliminate corruption from the industry and restore its legitimate financial opportunities.

More recently, the Institute sponsored a symposium of experts in organized crime control policy, practice, and research to discuss critical enforcement problems and identify directions for future policy-relevant research.[12] Among the many issues discussed, symposium participants noted that important advances had been made in Federal legislation and law enforcement operations and stressed the need for expanding these and for adapting them to State and local problems and resources. In addition, they expressed the need for a more precise assessment of the size of organized criminal groups, activities, and profits, especially difficult to quantify because of the covert and deceptive nature of their operations. Also recommended was research utilizing the growing body of public record information as an important source of data for studying the structure and parasitic nature of all types of existing organized criminal groups, their business enterprises, and their methods of operation; for identifying special law enforcement problems; and for evaluating the effectiveness of current strategies for organized crime detection, investigation, prosecution, and sanctioning.

Responding to symposium recommendations, a current NIJ study is using court indictment records and other public data to "profile" the patterns of activities engaged in by different types of organized crime business enterprises in an effort to help guide future investigations and prosecutions of similar syndicate operations. Another current Institute study addresses one of the most serious enforcement problems discussed at the symposium—control of drug trafficking—by seeking to develop strategies to incapacitate narcotics wholesalers.

Currently, the Institute is conducting research on another critical law enforcement problem—racketeer-dominated or

influenced labor unions. The seriousness of this problem was underscored by the President's Commission on Organized Crime, which reported that labor racketeering has enabled organized crime to "control segments of entire economic markets and . . . distort the cost of doing business . . . through theft, extortion, burglary, price fixing, fraud, and restraint of trade."[13] Despite attempts to combat labor racketeering through the conviction and incarceration of corrupt officials, certain unions have remained under syndicate control. Recently, in an unprecedented application of the RICO statute designed to achieve a more effective and permanent solution to the problem, the organized crime-dominated Teamsters Local 560 in New Jersey was placed in trusteeship by the court. NIJ is conducting a case study of this court-imposed RICO trusteeship in order to monitor its implementation and assess its effectiveness as a strategy for eliminating racketeer corruption from the union. Of special interest in this research is a survey of union members aimed at measuring their attitudes to the trusteeship and to previous organized crime-connected leaders and at better understanding the results of the union's November 1988 election, which voted in a slate of officers associated with the former racketeers. The findings of this research will be invaluable to criminal justice and labor officials in their efforts to restore democracy to other, similarly corrupted local unions and to the Department of Justice in its efforts to use this trusteeship strategy to combat organized crime domination of the Teamsters Union nationwide.

Most recently, NIJ has funded descriptive research on Asian organized crime and its control. Based on interviews with law enforcement officials and Asian community leaders in San Francisco, Los Angeles, and New York City, this project will study the structure and activities of Asian organized criminal groups and will examine existing law enforcement efforts to control them. Findings will benefit organized crime control agencies at all levels of government, increasing their knowledge about these gangs and their operations and suggesting strategies for more effective prevention and control.

Focus of this program

This program announcement requests proposals that will build on previous research to develop new, more effective approaches to white collar and organized crime prevention and control. The ultimate goals of the program are to reduce victimization and decrease the costs of these complex corruptive crimes to individuals, businesses, the criminal justice system, and society as a whole.

To promote a wide range of research inquiries and the development of new data bases, broad definitions are adopted for this program. "White collar crime" proposals may address any of the broad spectrum of nonviolent illegal acts, often involving occupational position or skills, in which deception, concealment, or breach of trust are engaged in for purposes of personal or organizational gain. "Organized crime" studies may examine the entire range of legal and illegal business enterprises engaged in by traditional syndicates, such as Cosa Nostra, or by any of the more recently emerging organized criminal groups, such as Asian racketeering organizations, Latin American and other drug trafficking cartels, and

violent motorcycle and prison gangs. All proposals should have as a major objective, however, the advancement of our state of knowledge and understanding about white collar or organized crime in order to contribute to the development of effective legislative, criminal justice, regulatory, administrative, or private sector strategies for prevention and control, especially at the State and local levels.

The following topic areas, while not intended to be exclusive, identify some issues of particular concern.

White collar crime. Based on the findings of previous studies and on the results of an Institute-sponsored colloquium designed to identify fruitful directions for future policy-relevant research,[14] some white collar crime issues of particular interest are detailed below.

- Research on strategies to prevent and control fraud and insider abuse in financial institutions and other major commercial and industrial corporations. Such white collar crimes as embezzlement, insider trading, bribes or kickbacks, theft of trade secrets, and other abuses by corporate officials threaten to erode our businesses and financial institutions, weaken our competitive position in the world marketplace, and cause inflationary pressures within our own economy. In addition, these complex and sophisticated offenses pose special problems for legislators and criminal justice policymakers and practitioners. Therefore, it is imperative that every effort be made to understand the circumstances that facilitate the commission of these crimes and to devise effective strategies to prevent, detect, investigate, and prosecute them. Since the corporate and financial sectors would also benefit from this research, their cooperation (and financial support, where possible) should be encouraged.

- Studies aimed at the prevention and control of public corruption, including thefts, bribery, conflicts of interest, and other abuses by officials in positions of public trust for purposes of private gain. Not only do such violations cause a severe drain on the economic resources of government, but they undermine the Nation's respect for public service and its confidence in public institutions at all levels and they create an unethical climate that encourages similar abuses in other sectors of society. Research is needed that will increase our understanding of the conditions giving rise to these offenses and that will contribute to the development of more effective administrative and law enforcement strategies of prevention, detection, and response.

- Research aimed at the prevention and control of money laundering. Currently, such financial schemes enable white collar and organized crime offenders to divert billions of dollars each year from the Nation's economy and to spend their illegally earned profits with relative impunity. As money-laundering schemes become more sophisticated, research is needed that will assist regulatory and law enforcement agencies at all levels of government to prevent and control these offenses more successfully.

- Studies focusing on computer crime, in which computer technology is either targeted directly or is utilized as a means for illegally acquiring possession of money, property, or information. As society becomes increasingly dependent on computers in carrying out its economic, administrative, social, and scientific functions, new opportunities for crime have been created and new types of criminals have emerged to take advantage

of them. This has created a critical need for research to improve law enforcement skills and strategies for detecting and investigating these offenses, to develop more effective legislative and prosecutive remedies for sanctioning offenders, and to suggest innovative private-sector approaches for preventing crime victimization.

Organized crime. Based on National Institute of Justice symposium recommendations and on the findings of other organized crime studies, applicants might consider policy-relevant research addressing the following objectives:

- To help combat one of the most serious current criminal justice and social problems—drug abuse—by increasing the state of knowledge about major drug trafficking groups and operations and by developing strategies for improved detection, interdiction, and control. Not only are these organized criminal syndicates responsible for the "supply side" of the drug abuse problem and all of the social dysfunctions it produces, but they also corrupt legitimate institutions and undermine public respect for government and law. Yet the wealth and power of these groups and their sophisticated organizational resources make them particularly resistant to law enforcement controls, creating a need for special research attention.

- To examine the impact of criminal and civil RICO legislation on organized criminal groups and their operations as well as on criminal justice policies and procedures. Such studies can have important implications for improving organized crime enforcement operations by developing and promoting the adoption of more effective investigative techniques, involving increased interagency, interlevel, and interspecialist coordination, and more effective prosecution and sanctioning strategies, involving increased use of Federal and State RICO statutes and their asset forfeiture provisions. Of special importance are studies aimed at achieving these objectives within the limited budgetary and manpower resources available to State and local agencies.

- To help broaden organized crime enforcement efforts beyond their traditional Cosa Nostra syndicate targets to include the wide range of organized criminal groups which have emerged more recently, such as Asian racketeering organizations, Latin American and other ethnic/racial drug cartels, violent motorcycle and prison gangs, and other less established criminal syndicates. More comprehensive targeting of criminal activities is also needed, going beyond the traditional law enforcement focus on illegal racketeering enterprises to include the infiltration and corruption of legitimate industries and institutions by organized criminal groups. During recent years, considerable law enforcement gains have been realized in increased indictments and successful prosecutions, especially under the RICO statute. It is important that future research help extend these successes to other organized crime groups and enterprises, developing new strategies and adapting current techniques to respond to their specific features and vulnerabilities.

- To help jurisdictions effectively target enforcement efforts by identifying reliable direct and indirect measures to detect the presence, types, and levels of organized crime activity. Such measures can be important in guiding criminal justice policy, allocating resources where they are most needed, and assessing the impact of particular law enforcement initiatives.

■ To increase criminal justice capabilities for proactive enforcement operations by developing and promoting the adoption of effective intelligence data collection and analysis techniques, including undercover operations, electronic surveillance, and the use of the witness protection program to shield syndicate informants. Research might address how intelligence-gathering can be accomplished with the limited resources available to State and local agencies, how intelligence data can contribute to successful interventions, or both.

DEADLINES and further information

Ten (10) copies of fully executed proposals should be sent to:

Research Program on White Collar and Organized Crime
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on the dates specified for each cycle. This program's first cycle deadline is February 16, 1990. The second cycle deadline is June 8, 1990. Extensions will not be granted.

To obtain further information about this solicitation, researchers may write to Lois Mock, Program Manager, White Collar and Organized Crime, at the above address, or contact her at 202–724–7684. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Ms. Mock to discuss it with her before undertaking the considerable effort required to prepare a proposal that would be competitive.

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87–IJ–CX–0053. A Study of Organized Crime Business Activities and Their Implications for Law Enforcement, Northwest Policy Studies Center.

87–IJ–CX–0079. Research on Strategies to Incapacitate Narcotics Wholesalers, Police Executive Research Forum.

88–IJ–CX–0012. Teamsters Local 560: A Case Study of a Court-Imposed RICO Trusteeship, Harvard University, John F. Kennedy School of Government.

88–IJ–CX–0049. The Structure, Operation, and Control of Asian Organized Crime in America, University of California at Irvine.

Research Program Plan Announcements

Center for Crime Control Research

Criminal careers and the control of crime

The dramatic rise in the level of crime in American society during the last 30 years has stimulated an unprecedented level of public and professional concern about what official actions can be taken to cope with this serious problem. A recent Roper survey found that crime and drugs were the most frequently mentioned societal problems facing the Nation—outdistancing inflation, unemployment, and the nuclear threat. Informed by research, our understanding of the effects of crime is that it is not only a discrete transaction between victim and aggressor but also has effects on entire neighborhoods, communities, and regions. The FBI crime reports for 1988 indicated that 13.9 million index crimes were reported to the police, a 3 percent increase over the previous year. Victimization has also created a fear index measured by investment in personal, corporate, and community security. For example, in 1980 there was an estimated investment of $21.7 billion in private security. The estimated investment in this field for 1988 had risen to $51 billion. Although 1987 saw the United States reach an all-time high in the number of individuals imprisoned (581,609), the rate of imprisonment per crime was only about half that reported in 1960. In other words, a higher proportion of convicted offenders (78 percent) receives probation today. The annual cost to the taxpayer for this level of imprisonment exceeds $7.5 billion. Yet the costs of crime may far exceed the costs of incapacitating a small proportion of offenders.

The dilemma posed by simultaneously high levels of crime and imprisonment emphasizes what has always been a central policy question in criminal justice: "What is the effect of the variable application of punishment on crime?" The idea that punishment (or the threat of punishment) will be effective in controlling criminal behavior is certainly one of the fundamental characteristics of any organized society.

Policymakers in America today devote increasing attention to the specific issues of crime and punishment even as purse-strings are tightened. Laws are passed, tax dollars spent, and new initiatives announced on programs that clearly aim at enhancing general deterrence through the threat of swift and certain or stiffer penalties for certain types of crimes. Police departments and prosecutors have established programs aimed directly at increasing the chances of incapacitating high-rate offenders during their most criminally active years. These actions have not taken place in the absence of research. In fact, criminal justice policymakers have, in the past 20 years, become increasingly responsive to the results of carefully designed social science research studies in developing new crime control policies.

Major concerns persist about prison population sizes and prison costs. Yet nearly 80 percent of all convicted felons are not sentenced to prison but are on some form of release, usually into communities already experiencing significant criminality. Determining which offenders to incapacitate has become a primary issue of policy debate. Recent evidence

from California suggests that 65 percent of felony probationers are rearrested at least once within 2 years of their release.[1]

The State correction systems continue to operate while at the breaking point. Criminal justice officials are being forced to use a triage model of decisionmaking. This strategy enables them to cope with but not solve problems. Judges are forced to choose between prison and virtual unfettered release. Although many attempts are currently being made to implement intensive supervision programs in probation and parole, this type of alternative as well as the form it should take has yet to be sufficiently tested. The criminal justice system has no widely socially accepted consensus on punishment policy: we are either too harsh or too lenient, according to one observer. A series of progressively more serious intermediate punishments that incapacitate the offender, protect the community, and rehabilitate the offender are needed. Understanding which offenders pose the greatest risk is critical as is the formulation of new methods of social control that provide more adequate protection to society. And naturally this leads to questions regarding the crime control effectiveness of intermediate punishments that protect future victims and redirect the energies and motivations of offenders.

The broad mandate of this program is to support an accumulation of sound research on the crime control effectiveness of official sanctions. The findings from this research would serve as a scientific basis for the continued evolution of informed and more effective policies aimed at the reduction of crime.

SCOPE

Public preferences in the past decade have shifted away from the ideal of rehabilitative treatment. This shift coincided with an emerging scientific consensus acknowledging that most rehabilitation programs lacked scientific evidence of effectiveness for most offenders.[2] Although rehabilitation has not been accomplished in most cases, the Institute continues to support research on a wide range of options to improve selection and classification and reduce recidivism. Research advances of the past decade have also generated evidence that crime rates are, in fact, responsive to more certain and more severe sanctions. In a 1978 review of the literature, a panel of the National Academy of Sciences concluded that, in contrast to the beliefs of many criminologists of the 1950's and 1960's, the available scientific evidence "favors a proposition supporting deterrence more than it favors one asserting that deterrence is absent."[3]

This rather guarded statement reflects the fact that scientific support for deterrence and incapacitation as mechanisms of crime control is still limited with respect to the *size* and *direction* of the effects that can reasonably be expected from alternative sanctions. One might speculate that criminals know that they face an unreasonably low probability of sanctioning for any one crime and are therefore undeterred by the random sentencing events that seem so unrelated to their criminal careers. Research on State and local aggregate crime rates since the Academy's 1978 report has explored the deterrent effects of sanctions for a variety of index offenses as well as specific crimes such as bank robbery and drunk driving. In addition, policy experiments

have attributed 50 percent reductions in repeat violence in spouse assault cases to the specific deterrent effects of arrest.

In 1978 the National Academy of Sciences found that crime control effects from incapacitation were "plausible" but without a firm empirical base.[4] In a 1986 report the Academy reviewed the extensive research of the past decade and estimated that incarceration policies designed to incapacitate high rate offenders offer crime reduction effects up to 10 percent, with no increase in prison populations.[5]

All of these estimates are based on assumptions and estimation procedures for determining rates of participation in crime, the age at which criminal careers start and stop, the rate of offending over time, intermittence in the rate of offending, the seriousness and variety of offenses, the number of offenders per crime, and the nature of the social networks among the criminally active. Most of these assumptions and all of these estimation procedures are open to question, further testing, and refinements as they are by definition based on incomplete information. This program is designed to support research that addresses one or more of these aspects of criminal careers.[6] But we are interested as well in supporting those using other approaches to increase our understanding of the effects of official sanctions on crime. The following list of project classes, while not intended to be complete in its coverage, is intended to illustrate the scope and variety of the program's interests.

Crime career research directed toward a thorough understanding of the participation in, rate of criminal activity, seriousness, and length of criminal careers. This line of research seeks to determine the amount of crime and crime costs prevented by incarceration and to obtain a better grasp of how incarceration or other sanctions retard or accelerate the development of offenders' subsequent criminal behavior. Studies in this category have in the past estimated the annual crime commission rates of offenders and examined one or several crime types, the duration of their criminal careers, the number of crimes committed during a career, and most important for this program, the impact of incarceration or other sanctions on careers in crime.

Neighborhood and community-level studies building on an extensive research tradition which has estimated such things as the relative gains in crime reduction generated by different sanction levels. National time series and State-level analyses have spawned efforts that use county-, city-, and neighborhood-level data to estimate the crime control effects of sanction policies. Of course, research conducted at a more local level is also hampered by data and measurement problems. A more local focus also raises such issues as whether some communities have a "crime rate ceiling." When an active offender is arrested and incapacitated, crime drops. However, it seems to return in a few days to prior levels. Why? Currently efforts are underway to estimate the deterrent effects of arrest on crime at the neighborhood level and the magnitude of the effects of official sanctions (conceptualized as jail incarceration risk and police aggressiveness in patrols) on serious criminal offending in 171 American cities.

Perceptions research investigating why the assessment of sanction risk or sanction cost differs greatly among various subpopulations, and whether the criminal

justice system can communicate sanction threats more effectively. How is the risk of punishment understood by those engaged in crime? Does it depend on what kinds of crime particular offenders engage in? Is the imposition of sanctions too diluted or too harsh to alter the desire to commit illegal acts? Past efforts have involved longitudinal studies of adolescents to determine the sequencing of criminal behavior and perceptions of sanction risks. A recent effort attempted to better understand how offenders decide to end their criminal careers. Related NIJ-supported research is planned for this area under the Ethnographies of Property Offenders Program.

Measuring crime has been a perennial topic for researchers interested in crime and criminal justice. The accurate interpretation of official crime statistics, victim surveys, and self-reports of crime is vital to improving the understanding of criminal careers. The importance of improving techniques to measure self-reports of crime was emphasized again recently in a reanalysis of a 1978 RAND Corporation survey of jail and prison inmates.[7] An important contribution of this RAND survey is the highlighting of the variability of the rates at which individual offenders commit crimes. The estimates of these rates, especially for burglary and robbery, are dependent upon researcher decisions about the interpretation of ambiguous survey responses. There is also a problem of veracity in the self-reports of crime. It is apparent from the RAND survey that some respondents overreported and some respondents underreported the frequency with which they committed criminal acts. Problems in measuring criminal behavior have been reflected once again in the recent results of the NIJ Drug Use Forecasting (DUF) surveys. These surveys have shown that self-reports of drug use are significantly underreported. This program includes support for research on *improved measures of criminality* in the context of understanding criminal careers and the control of crime.

The variety of crime types and research disciplines represented in this program should not obscure the highly focused program theme—the effectiveness of *official* sanctions on crime. Official sanctions for the purpose of this program are defined as all sanctions commonly understood to be available to the criminal justice system, in addition to asset seizures and forfeitures, user accountability, loss of job, urine tests, and contempt of court. Crime control effects derived from sources such as private protection or demographic variations are of interest to this program only insofar as they offer plausible and testable competing explanations for the observed reductions associated with official sanctions. Proposal authors should keep this objective in mind. All proposals should, therefore, describe clearly not only the research project for which funding is sought but also precisely how this research might benefit the continued development of criminal justice policy.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Criminal Careers and the Control of Crime
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

The deadline for this program will be February 23, 1990. Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m. on that date, and extension of this deadline will not be permitted.

To obtain further information about this solicitation, researchers may write to Winifred Reed, Program Manager, Criminal Careers and the Control of Crime Program, at the above address, or contact her at 202–724–7636. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Ms. Reed to discuss it with her before undertaking the considerable effort required to prepare a proposal that would be competitive.

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Drugs, alcohol, and crime

Tune in any television talk-show or radio evening news, scan any newspaper headlines, or ask any group of citizens, and the answer is clear: Drugs and drug-related crime are the most important and urgent social problems affecting our country today. Drugs are the highest priority of our national and local governments, and the crime and social problems with which they are associated are among the most serious challenges facing America and the world today. A 1989 Gallup survey reported that, in the 50 years the U.S. public has been asked to name the Nation's most important problems, it is virtually unprecedented that a social problem—drugs—should top the list.

The President and the Congress have responded to public concerns through the creation of the Office of National Drug Control Policy (ONDCP). The National Drug Control Strategy produced by ONDCP Director Bennett calls for a comprehensive initiative of research and action involving many departments of the Federal Government. The Institute's research program reflects the strategy's priorities and entertains innovative ideas that cross traditional governmental boundaries. It asks for both basic and applied research to find out "what works" in abating our national drug problem.

In addition to the health and social problems they bring, drugs also contribute strongly to the occurrence and intensity of many types of crime—from white collar crime and corruption to property offenses and crimes of violence. Dramatic reports of drug trafficking cut across all levels from international to State and local drug dealing, and swamp the news media. Tangible evidence of the connection between drugs and crime can also be seen at individual offender and individual incident levels. Surveys of self-reported drug usage by offenders in State prisons report that more than two-thirds were under the influence of one or more illegal drugs when they committed the crimes for which they were incarcerated, or had drunk very heavily just before the offense for which they were arrested. Among arrestees given objective urine tests in cities across the nation by the Drug Use Forecasting (DUF) program, from half to almost 90 percent showed evidence of illegal drug consumption within the preceding 2 to 3 days.

Other National Institute of Justice studies have shown the accelerative and intensifying effects of drug usage, indicating that the offense rates of heroin-abusing criminals tend to increase about 4 to 6 times during periods of use over the same offenders' rates during periods when not actively using drugs. Urine tests have shown drug-positive offenders typically have pretrial rearrest rates about 50 percent higher than those who are drug-negative, with multiple drug users presenting the greatest risks to the community.

Drug abuse has spread through all segments of our society, and drug-related crime and violence have become so widespread that they have essentially taken over neighborhoods in many of our major cities. In 1988, the homicide rate in our Nation's Capital reached record heights—with the large majority of those killings associated with drug dealing and drug-gang-related violence. Across the

Nation, surveys show that high proportions of our youth use a variety of drugs, from alcohol and marijuana to hallucinogens and narcotics. Though there are encouraging signs from the most recent surveys of high school students indicating that the numbers of users in the general population have stabilized or decreased, these trends do not appear to be reflected in criminally active populations, which show much higher rates than in the general population.

In New York City, for example, the DUF program showed dramatic increases of cocaine usage among arrestees, rising from 40 percent in 1984 to over 80 percent in 1988. In addition, while problems with some drugs, such as narcotics and marijuana, are reported in all regions, other drugs are focused in particular areas. PCP is heavily used in Washington, D.C., and "speed" in California, Oregon, and Arizona. New forms of illicit drugs, such as "crack" cocaine, have appeared and spread rapidly, and these developments have contributed to a tripling of the number of drug-related emergency cases in hospitals since 1981. The picture is thus one of diversity and continual change.

As a result of all these factors, the annual costs of drug- and alcohol-related problems are staggering and increasing. Taking into account the social and economic impacts of crime, criminal justice costs, decreased productivity, treatment, and lost lives, 1985 estimates placed drug abuse costs at $46.9 billion and alcohol abuse costs at $89.5 billion. Illicit drug revenues are equally staggering. International drug traffickers have assassinated government and law enforcement officials, terrorized regions, and gained such wealth as to be able to offer to pay off the national debts in source countries in exchange for protection to continue to grow and export drugs.

In addition to being tremendously complex and costly, drug problems and possible solutions to them are also highly controversial. In our Nation, proposals for different strategies to deal with them range from "get tough" and "crackdowns" on the one hand to "decriminalization" and "legalization" on the other, and from "supply reduction" aimed at traffickers to "demand reduction" and "user accountability" aimed at users. In order to support the development and evaluation of soundly based public policies, it is imperative that we develop the best possible data and analytic approaches for assessing how different drug control strategies will interact to affect all aspects of drug abuse and drug-related crime.

Research plays a vital role in these efforts. Through it we have come a long way toward revealing the ways in which drugs and alcohol interact with other complex social, legal, psychological, and pharmacological factors to influence the behaviors of substance-abusing offenders. But we are also aware that illicit drugs serve as powerful stimuli for criminal behavior even among those who *do not use* these drugs themselves—due to the economic incentives related to their production and distribution. We recognize that we do not have "*a drug problem*," but have *many types of drug problems*, with differing underlying causal mechanisms. To provide an adequate picture of their interrelated effects, we must be able to address these direct and indirect consequences of drug abuse and all forms of drug-related crime.

In November 1988, Congress passed the Anti-Drug Abuse Act of 1988 (Public Law 100–690) providing Federal assistance to communities for treatment, education, prevention, and drug enforcement programs. It describes 21 authorized program areas of Drug Control and System Improvement assistance to carry out specific programs that offer a high probability of improving the functioning of the criminal justice system and enhancing drug-control efforts at the State and local levels. The Act assigns NIJ the responsibility to "conduct a reasonable number of independent evaluations" of the activities supported by that legislation. A complete description of the Special Initiative on Drug Program Evaluations is contained elsewhere in this Plan. This Institute program is also interested in supporting evaluations of such State and local initiatives.

SCOPE

This research program has two major objectives:

Increasing our knowledge and understanding of the nature and extent of drug-and alcohol-related crimes and the factors which affect them.

Applying such knowledge to support the development of informed public policies aimed at control of drug and alcohol abuse and related criminality.

Over recent years, this program has supported a broad range of basic and applied research projects and studies. For the current program year, proposals are sought in these priority areas:

1. Informing State and local drug control strategies.

2. Drug gangs and violent drug crime.

3. Assessing drug usage and drug-related crime.

4. Drug-crime linkages, treatment, and prevention.

The following examples illustrate the types of policy-oriented research relevant to each of these priority areas:

Informing State and local drug control strategies. Efforts to control drug abuse and drug-related crime transcend national and international boundaries, involving State and local governments, and the private sector.

Knowledge of the nature and extent of local drug trafficking systems and how they react to market influences and law enforcement efforts is needed on a continuous basis for the development and evaluation of control strategies. NIJ-supported studies have indicated that enforcement efforts aimed at street drug markets may produce significant reductions in drug trafficking and related crime, such as robberies and burglaries. But it is clear that the problem is too large and complex for law enforcement efforts alone and that coordinated efforts at all levels of government and by all segments of the community will be needed if we are to control both supply and demand effectively.

Studies of the roles of law enforcement might address such issues as development of the most effective balances of efforts directed toward street-level dealers and mid- and high-level traffickers; evaluating the impacts of strategies aimed at sellers (buy-and-bust) and at users;

enhancing methods of detection and investigation; dealing with sales through open "street markets" or "crack houses"; detecting money laundering practices; assessing the effectiveness of legislative and prosecutorial strategies and sanctioning policies; and integrating initiatives that cut across the criminal justice system and other civilian and governmental agencies.

This solicitation encourages research efforts that will explore ways to reduce the demand for drugs both among criminal offenders and the general public. A wide range of approaches are possible, such as: a) enhancing the effectiveness of general and specific deterrence through increased emphasis on detection by urinalysis or other objective drug tests, b) assessment of the relative effectiveness of innovative sanctions, such as license revocations or alternatives to incarceration, and c) the contributions of various types of information and attitudinal components in dissuading new users and changing the behaviors of current users, as in the effectiveness of prevention efforts aimed at youths or high-risk groups.

Recent NIJ studies relating to these issues, in addition to the studies cited above using urine tests to monitor drug usage among offenders, have included: a) evaluation of the effectiveness of intensive supervision during probation in reducing drug usage and crime, b) assessing the value of urine tests within programs for juvenile offenders in a detention center, and c) assessing the deterrent impacts of law enforcement efforts on cocaine sellers' perceptions of risk and decisions to continue or stop dealing.

Drug gangs and violent drug crime. Drug-related violence has exploded in cities across our Nation, and in many urban areas gangs have emerged as the dominant factor affecting local drug trafficking and drug-related violent crime. Although in different areas the ethnic composition of the groups may vary from primarily white to black, Asian, or Hispanic, they are increasingly changing from being primarily social groups to functioning as entrepreneurial organizations built around the distribution and sale of drugs and the control of local drug markets.

On the West Coast, Los Angeles-based "Crips" and "Bloods" gangs have escalated their intragroup violence to the point where "drive-by" shootouts have become frequent. Fortified crack houses and protected "shooting galleries" have become standard in facilitating the sale and use of drugs. From the Florida area, Jamaican-based "posses" with especially violent approaches to establishing and controlling drug turf have spread to many other cities and brought with them increased traffic in drugs and guns and increases in related violent crime.

Even when the gang linkages are less evident, drug usage and trafficking have corroded many urban areas and escalated violence to the point where drugs have become the overriding political and social concerns for the residents and local government. Washington, D.C., for example, had both the Nation's highest 1988 murder rate of 59.5 per 100,000 population and also led in having the highest rate of increase in homicide since 1987, an increase of over 65 percent in one year, with the majority of these deaths drug-related.

Recognizing that these problems cannot be solved by the criminal justice system alone, the President, the Attorney General and the Nation's "drug czar" have called for national, State, and local efforts to reverse the trends through coordination of community and criminal justice efforts aimed at reducing both the supply of drugs and the demand.

These developments collectively affect all aspects of the criminal justice system's roles in fighting the war against drugs. Surveillance and intelligence on drug dealing groups must adapt to shifts in their age composition and ethnicity, and to changes in the type or form of drugs (e.g., "crack" cocaine, PCP, "crank" methamphetamine) and their marketing strategies. Tactics must reflect the shifts of open-air markets and dangers imposed by increases in the roles of fortified houses and weapons. Research could address such issues as how the changing gang involvements have affected the sizes, distributions, and strategies of the groups in establishing new markets and competing in existing markets, countering law enforcement efforts, links with groups in other jurisdictions, and trafficking in drugs or weapons. How variations in these factors affect local drug availability and drug-related violent crime are also important.

Recent Institute-funded studies on these or related issues have included: a) studies of law enforcement and community-oriented approaches to controlling street drug markets in several cities, and b) assessing the impact of gang involvement in cocaine-rock trafficking on the nature and extent of local crime patterns.

Assessing drug usage and drug-related crime. NIJ research and other sources have revealed the close associations between illicit drug use and crime. They have also shown that not only are many offenders active drug abusers, but that reduction of their drug usage is typically associated with marked reduction of their criminal activity and that treatment can help achieve these desired decreases in drug abuse and criminality.

The drug scene is also highly dynamic, and changes continually occur that bring new substances or forms of drugs into prominence (e.g., crack, analogs), with associated changes in market conditions and usage patterns. In the face of such shifts, efforts are continually needed to update and improve our approaches to monitoring the nature of local drug conditions and assessing the sizes and characteristics of various substance-abusing populations.

Accurate and sensitive measurements are of fundamental importance for detecting events, revealing relations, and evaluating changes and impact of interventions. The DUF system, for example, has shown that in addition to its value for individual case decisions, objective timely information on local patterns of drug usage among offender populations can assist in policy development for allocation of resources for interdiction, treatment, and prevention efforts.

Recent NIJ activities in these areas have included studies to (a) develop mathematical models for estimating the prevalence of cocaine usage at State and local levels and (b) improve criteria for reporting of drug-related homicides, based on a conceptual framework encom-

passing drug consumption or known drug involvement by either the victim or offender and evidence of drugs or drug-related contraband within the scene of a crime. The FBI's Uniform Crime Reports (UCR) has also been redesigned to obtain more drug-related data within criminal incidents than has heretofore been possible.

Data acquisition, however, is only half of the problem; data analysis and interpretation is the other. We have made significant advances in our abilities to measure and estimate how many crimes of various types are drug- or alcohol-related. But the nature of the roles these substances played in contributing to the occurrence or severity of the criminal acts, or how much reduction in various types of crime can be obtained with a given reduction in drug usage, are still inadequate for our policy information needs. Further studies are needed to improve our abilities to monitor and assess how different types of drugs are contributing to various types of crime and how best to integrate the information available from various indicators for criminal justice policy issues.

Drug-crime linkages, treatment, and prevention. Research has indicated that drug and alcohol abuse may affect both the nature and intensity of patterns of crime in youth and adults. But "risk-factors" alone do not explain why some individuals develop these patterns while others do not. Efforts at prevention require further research to clarify these processes of onset, intensification, and cessation. They also need to address such questions as how and why many individuals in "high-risk" groups do *not* develop drug-related problems. Intravenous drug use has also been identified as an important vector for transmission of AIDS—the most important link for transmission of the HIV virus between drug-using populations and the general non-drug-using population.

Treatment and the potential roles of the criminal justice system in breaking these drug-crime linkages are also of high priority. Improving our understanding of individual and environmental characteristics, life events, and the effects of interventions relating to prevention and cessation of drug usage would contribute toward more effective policies aimed at the reduction of demand for illicit drugs and a corresponding reduction of drug-related crimes. Studies may assess the crime reduction benefits in cutting demand for drugs by criminals through both criminal justice–based and community-based treatment, monitoring, and testing programs.

In addition to the DUF studies using urine tests of arrestees and study of youthful offenders in detention facilities, other recent Institute studies on related issues have focused on (a) the characteristics of drug-abusing inner-city youths and their social support systems compared to those who are not drug abusers, (b) patterns of violence in families with histories of drug and alcohol abuse, (c) the nature and extent of psychopathology among drug- and alcohol-abusing offenders, and (d) assessing hair analysis as a potentially complementary way to enhance current detection and monitoring capabilities by permitting detection of drug usage over longer periods than are possible with urine-testing techniques.

DEADLINES
and further information

Institute awards are normally limited to a maximum period of 2 years. Studies requiring more than 2 years to complete should be designed in phases. Selection of the first phase of a project, however, does not guarantee support of subsequent phases, and continuation award proposals must be submitted for competitive review.

Ten (10) copies of fully executed proposals should be sent to:

Drugs, Alcohol and Crime Research Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

This program will offer two opportunities to submit proposals this year. Completed proposals must be received at the National Institute of Justice no later than 5:00 p.m., January 10, 1990, to be considered for the first cycle, and no later than 5:00 p.m., May 9, 1990, for the second cycle. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Bernard Gropper, Program Manager, Drugs, Alcohol and Crime Research Program, at the above address, or contact him at 202–724–7631. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Gropper to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

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"Jailing drunk drivers: impact on the criminal justice system," *NIJ Reports* 192 (July 1985).

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D.W. Hayeslip, Jr., "Local-level drug enforcement: new strategies," NIJ *Reports* 213 (March-April 1989): 2–7.

D.C. McDonald and C. Smith, *Evaluating Drug Control and Justice System Improvement Projects*, NIJ Evaluation Guidelines, August 1989.

E.D. Wish, M.S. Toborg, and J.P. Bellassai, *Identifying Drug Abusers and Monitoring Them During Conditional Release*, NIJ Issues and Practices Report (NCJ 108560), February 1988.

89–IJ–CX–0001. Modeling Drug Markets, Harvard University.

88–IJ–CX–0016. Marijuana As a Cash Crop: Study of U.S. Illicit Drug Growers, Illinois State University.

88–IJ–CX–0015 (Birmingham, Alabama) 87–IJ–CX–0058 (Oakland, California). Controlling Street Drug Markets: Community Oriented Approaches. Police Foundation.

87–IJ–CX–0064. Changing Patterns of Drug Abuse and Criminality Among Crack Cocaine Users, New York City Criminal Justice Agency.

87–IJ–CX–0059. Breaking the Drug-Crime Connection, RAND.

87–IJ–CX–0046. Drug-Related Crime Analyses: Homicide (Phase 2), Narcotic and Drug Research, Inc.

87–IJ–CX–0043, Improving Methods of Measuring the Incidence and Prevalence of Drug Abuse at State and Local Levels. Lazar Institute.

87–IJ–CX–0042. Cocaine Prevalence Estimation, University of California at Los Angeles.

87–IJ–CX–0036. Indirect Criminal Justice Pressures on Cocaine Sellers, Scientific Analysis Corporation.

87–IJ–CX–0035. Assessment of Multiple Drug Use Indicators, San Diego Association of Governments.

87–IJ–CX–0033. Drug Use and Psychopathology as Predictors of Criminality, Northwestern Memorial Hospital.

86-IJ-CX-0029. Detection and Evaluation of Substance Abuse Histories Through Hair Analysis, Ianus Foundation.

86–IJ–CX–0084. Urine Tests of Arrestees to Identify Hidden Drug Abusers, Toborg Associates.

86–IJ–CX–0050. Urine Testing of Juvenile Detainees to Identify High-Risk Youths, University of South Florida.

86–IJ–CX–0035. Alcohol-Drug Aspects of Intergenerational Domestic Violence, Research Institute on Alcoholism.

Ethnographies of property offenders: attitudes on crime opportunities and risks

Property crime continues to be a problem that plagues our Nation. Many citizens would agree that there is nothing quite so traumatic—barring injury to ourselves or our loved ones—as to return home and find that one has been the victim of a burglary.

The FBI reported over 3 million burglaries known to the police in 1988, accounting for 1 of every 4 index crimes for the year. Two-thirds of these burglaries were residential. Over 7 million larceny-thefts were reported in 1988, accounting for 62 percent of the property crime known to the police. The average value of property stolen was estimated at $426. In addition, approximately 1.4 million motor vehicle thefts were reported in 1988. Finally, about 543,000 robberies were reported, with the average value of property stolen estimated at $631. Law enforcement agencies were reported to be successful in clearing 13 percent of the burglaries, 20 percent of the larceny thefts, 15 percent of the motor vehicle thefts (though many more cars were returned to their owners), and 26 percent of the robberies.

The value of the property taken in these crimes is, of course, a poor measure of the losses they impose on society. In fact, these offenses are our most feared predatory crimes. Household burglary may often be a more serious crime than its classification as a "property offense" indicates since violent crimes committed in the home all too often occur during the commission of household burglaries. Victims may also experience feelings of great insecurity resulting from the invasion of their homes. And of course, victims of robberies suffer other, largely incalculable losses due to the violent nature of this offense.

This research program seeks better information on how currently active offenders go about their business. The kinds of things they do and don't take into account before committing a crime may aid in the development of law enforcement policies to help reduce property crime.

A substantial body of research has been conducted on burglars and burglary. Many studies, such as *Burglary as an Occupation*, by N.E. Shover, 1971, *Burglars on Burglary*, by Trevor Bennett and Richard Wright, 1984, and *Suburban Burglary*, by George Rengert and John Wasilchick, rely primarily on interviews with incarcerated offenders. Notwithstanding the notion that most active thieves eventually end up being caught by the criminal justice system, there is still some doubt about the representativeness and validity of data obtained in this manner.[1] Case studies of burglars (for example, Edwin Sutherland, 1937, and Bruce Jackson, 1969) are also of unknown representativeness.

A few authors (for example, W. Gordon West, 1978) have attempted observational studies of nonincarcerated, active burglars. Others, including Anne Campbell, 1984, R. Prus and S. Irini,

1980, and Mercer Sullivan, 1983, have conducted observational studies on topics such as female gang membership, life in a residential hotel, and employment and crime that also include occasional insights on property offending.

For the most part these studies have not focused on offenders' perceptions of the risks involved in engaging in criminal activities or how they select their targets. Exceptions to this are the works of Bennett and Wright and of Rengert and Wasilchick. These two volumes represent examples of a renewed interest by criminologists in the offenders' perspective. An attempt has recently been made to incorporate this within a theoretical framework that uses a rational-choice approach to understanding crime.[2]

One explicit purpose of research of this type is to link the research design more closely to policy concerns. Current apprehension tactics and sentencing practices may be largely based on faulty assumptions regarding how offenders learn their trade, how they calculate their risks and gains, and how they go about selecting their targets. Such assumptions have rarely been explicitly formulated—much less tested. As Howard Becker stated over 20 years ago: "Very few [studies] tell us in detail what a juvenile delinquent does in his daily round of activity and what he thinks about himself, society and his activities."[3]

Throughout the criminal justice system, as part of a daily routine, decisions are made based on estimates of the danger individual offenders pose to the community. Indeed, the ways in which we spend large amounts of public and private resources depend on assumptions about how best to prevent crime and control criminal behavior.

Scope

The goal of this program is to gain information on how property-crime offenders become involved in and continue their criminal careers. We are also particularly interested in how drug use affects these careers. This information could ultimately aid in the control of burglary, larceny, motor vehicle theft, and robbery by developing information to aid in the design of legislative, prosecutorial, and sentencing strategies. However, research reveals little evidence of crime specialization either in offenders' arrest histories or in self-reported patterns of criminal behavior (see, for example, Jan Chaiken and Marcia Chaiken, 1982, and Bruce Johnson et al., 1985). On the contrary, the most active offenders tend to commit a wide array of crimes. This can mean involvement at high rates in robbery, burglary, theft, and drug sales.

While the focal interest of this program is property crime, subjects of this study might well be expected to be involved in a rather broad spectrum of delinquent and criminal activities. The long-range goal of this program is to develop methods that will help law enforcement and other criminal justice officials change patterns of criminal careers to aid in the reduction of property crime. Applicants must identify the links between their research plans and this long-range goal in the program narrative of their proposals.

Suggested substantive issues to be addressed in this program are:

1. Individual perceptions of the risks involved in the commission of property crimes and measures adopted to minimize these risks. Of particular interest are

offenders' perceptions of the threat of criminal justice sanction and the prior experience with crime and the criminal justice system that led to this assessment. Is the risk of detection and subsequent sanction a major influence or minor threat in an offender's decision to commit a crime?

2. Variations in individual crime commission frequencies with factors such as age, method of recruitment, employment, drug dependence, relationships with friends and family, and other significant life events. How many crimes are really committed compared to official estimates? Does one arrest represent arrest for that specific crime or does it also represent arrest for 100 or even 1,000 other crimes for which the suspect had not previously been caught?

3. Patterns of behavior in the commission of property crimes, including such things as choice of victims, networks of coparticipants and confederates, and outlets for disposal of stolen goods.

Projects awarded through this program must have an ethnographic orientation. The study population must include currently active offenders contacted outside criminal justice channels. This orientation will complement the more typical large-population studies with the greater detail and insight that can be obtained from research on a smaller number of currently active offenders. If possible, applicants are encouraged to employ more extended methodologies in order to provide supplementary validation of their findings and to include this supplemental design information in their grant applications.

The research plan must contain, at a minimum, information on the theoretical orientation of the applicant(s), proposed methods of access to the study population, sampling strategies (if appropriate), and data collection and analysis techniques. Proposal authors should *briefly* explain how their study relates to theories of deterrence, crime prevention, perceptions of offenders, and criminal behavior, as well as pointing out the specific issues within such theories that the research would address. Researchers should also provide some evidence that they are familiar with the social conditions and current police practices at the research site they have chosen.

In addition applicants should also *briefly* explain how their work would avoid some of the alleged shortcomings of using ethnographic methods in criminological research, such as observer effects and the limited use that can be made of sophisticated quantitative analysis techniques.[4] Finally, the proposal should also state in detail and as clearly as possible how findings of this research can be linked to practical policy recommendations.

Applicants to this program must also include a brief statement in their proposals regarding the primary legal and ethical problems that they anticipate occurring during the conduct of this type of research and how they plan to deal with these problems.

Finally, advance knowledge and support of such a project by local law enforcement officials is essential for the successful implementation of this research. A letter indicating official awareness of the project and consent to the conditions of the research must be received by the National Institute of Justice prior to any *grant award*. This letter does not have to be included with the original application, however.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Ethnographies of Property Offenders
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m., April 20, 1990. Extensions of this deadline will not be permitted.

To obtain further information about this solicitation, researchers may write to Winifred L. Reed, Program Manager, Ethnographies of Property Offenders, at the above address, or contact her at 202–724–7636. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Ms. Reed to discuss it with her before undertaking the considerable effort required to prepare a proposal that would be competitive.

The National Institute of Justice initiated this program in fiscal year 1987. Two awards have been made. (An additional award was made in 1989 under the Criminal Careers and the Control of Crime program. See "related grants" below.)

Notes

1. Joan Petersilia, "Career criminals: a review of recent evidence," *Crime and Justice* 2, ed. Norval Morris and Michael Tonry, University of Chicago Press, 1980: 340, 358–359.

2. See Derek B. Cornish and Ronald V. Clarke, eds., *The Reasoning Criminal: Rational Choice Perspectives on Offending*, New York, Springer-Verlag, 1986.

3. Howard Becker, *Outsiders*, New York, The Free Press, 1963: 166.

4. Some of these issues are discussed in "The Feasibility of an Ethnographic Study of Adult Property Offenders," by Barry Glassner and Cheryl Carpenter. A copy of this report can be obtained from Winifred L. Reed, National Institute of Justice, at the address mentioned above.

References and related grants

Trevor Bennett and Richard Wright, 1984. *Burglars on Burglary*. Brookfield, Vermont, Gower Publishing Company.

Anne Campbell, 1984. *The Girls in the Gang*. New York, Basil Blackwell.

Jan M. Chaiken and Marcia R. Chaiken, 1982. *Varieties of Criminal Behavior*. Santa Monica, RAND Corporation.

Ronald Clarke and Tim Hope, 1983. *Coping with Burglary: Research Perspectives on Policy*. Boston, Kluwer-Nijhoff.

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W. Gordon West, 1978. "The short term careers of serious thieves." *Canadian Journal of Criminology* 20, 2. Examples of exceptions to this are the works mentioned above of Bennett and Wright and of Rengert and Wasilchick.

88–IJ–CX–0013. The Perceptions of Opportunities and Risks by Property Offenders, Temple University.

88–IJ–CX–0042. Target Selection and Decisionmaking Processes of the Home Burglar, University of Texas–Permian Basin.

Forensic sciences and criminal justice technology

Forensic sciences and technology have proven to be invaluable tools for criminal justice and will become even more important as we move into the 21st century. The changing uses of scientific evidence involving such physical items as fingerprints, firearms identification, fibers, hair, body fluids, voiceprints, and genes play an increasingly important role in investigations and prosecutions.

Innovations in forensics and technology have helped provide credible evidence in criminal investigations with a resulting increase in convictions. They have also categorically cleared innocent suspects. In addition, such advances have supplemented and improved many operations and procedures in the various segments of the system. Research is essential to ensure that criminal justice agencies and organizations use the most up-to-date technology and resources, both to investigate crime and to prevent it.

Previous Institute-funded projects that have led to innovations in forensic science analysis include research on the application of genetic markers to the partial individualization of blood and body fluid stain evidence. Information and procedures on ABO and Gm antigen typing and electrophoretic isoenzyme and serum protein typing has been widely disseminated to and used by forensic laboratories as a result of past research. The introduction of recombinant DNA techniques in the forensics field is expected to lead to further advances in the ability to individualize biological evidence. The Institute is currently sponsoring several investigations of these important new procedures having to do with DNA typing in blood, hair, and bone, and in sexual assault cases.

Scope

The Institute seeks proposals for research in the physical and biological sciences and their technologies, addressing advances in the forensic sciences and developments of equipment or techniques which will aid in crime prevention, crime detection, investigation, and adjudication. Presented below are broad topical areas where research may be beneficial. It is not intended that the areas mentioned here limit areas of potential research. Rather, these areas suggest the directions of research that may improve the efficiency and effectiveness of criminal justice operations.

Forensic sciences. The National Institute of Justice invites research proposals in the forensic sciences that offer actual or potential applicability in law enforcement. For research projects whose results have immediate application, an important consideration is how easily the results or techniques can be transferred to forensic science laboratories.

Our research goals include the development of the following. First, we are interested in supporting preparation of reference materials and definitive

collections of forensic data. NIJ has previously sponsored Dr. Robert E. Gaensslen's work resulting in publication of the *Sourcebook of Forensic Serology, Immunology, and Biochemistry*, among similar works by other researchers.

Second, we are interested in the refinement or validation of procedures or technology transfer methods by supporting projects that involve taking already known information, methods, techniques, or procedures, and refining or adapting them for application to forensic casework problems.

Third, we invite applications proposing direct applied research in the forensic sciences. An example includes research into a novel procedure for individualizing fibers or hairs.

Finally, we are interested in applications that propose research toward the utilization of forensic services and physical evidence by user groups, such as police, investigators, prosecutors, and the courts.

Criminal justice technology. The Institute encourages proposals for technological advances with potential application to the criminal justice system. Again, proposals in the areas of science and technology are not limited by focus or specific subject matters, but are judged according to their potential utility in addressing current criminal justice system needs.

There are several areas that the Institute believes merit further research. The success of the existing U.S. airport security system in stopping skyjacking is jeopardized by many new weapons, such as plastic guns and plastique explosives that are capable of being transported through detection barriers. Research proposals for new tools which improve detection capabilities for both traditional and nontraditional weaponry are of interest; proposals may include development of portable detection systems. Coordination with the Federal Aviation Administration is necessary.

Technology that facilitates tracing organized crime transactions is of interest. Also, research on the detection of illegal drugs that are being transported in various fashions through otherwise legitimate channels and improved means of identifying the offenders involved are of interest.

Proposals are invited that focus on improving the technological linkages between crime scenes and forensic laboratories in major investigations during major scene processing activities. Possibilities include live television hookups, transmission of data and images (such as fingerprints), and other uses of existing technologies to save time and effort involved in travel, packaging, and labeling of evidence and materials, documentation, and the like. Research on better field testing and detection methods for use in criminal investigations to enable reliable analysis of residues or materials at crime scenes prior to submission to a laboratory for more sophisticated analysis is encouraged.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Forensic Sciences and Criminal Justice Technology
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on March 16, 1990. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting proposals. To obtain further information, potential applicants may write to Dr. Richard M. Rau or contact him at 202–724–7631.

References and related grants

Robert E. Gaensslen, *Sourcebook of Forensic Serology, Immunology, and Biochemistry* (updated), National Institute of Justice, 1989.

89–IJ–CX–0009. A Computer Sourcebook of Firearms Evidence Information, University of California at Berkeley.

88–IJ–CX–0038. Image Enhancement and Restoration for Criminal Identification, University of Rochester.

88–IJ–CX–0031. Tone Line Enhanced Bitemark Photography, Case Western Reserve University.

87–IJ–CX–0061. Use of Polymeric Trace Evidence in Forensic Investigations.

87–IJ–CX–0041. Identification of Human Remains from Blood Groups in Bones.

87–IJ–CX–0040. Forensic Aspects of DNA Typing.

87–IJ–CX–0030. Timed Fluorescence Imaging for Detecting Finger Prints.

Offender classification and prediction of criminal behavior

"Prediction and classification occupy central positions in behavioral science, criminological research, and criminal justice decisionmaking. They are fundamental to science and hence to the application of scientific methods to problems of crime and justice. They are critical to testing criminological theories and thus essential to verification of beliefs about crime and the criminal justice system. They are ubiquitous in criminal justice decisionmaking and are central both to setting general policies and to making decisions about individuals. In these ways, classification and prediction are basic to efforts to prevent and control crime."

So wrote Professor Don Gottfredson in Volume 9 of the National Institute of Justice's award-winning *Crime and Justice* series, a special issue called *Prediction and Classification: Criminal Justice Decisionmaking*,[1] edited by Gottfredson and Michael Tonry. The Institute has long recognized the importance of classification and prediction for dealing with offenders and reducing victimization. The Nation must have the requisite tools for identifying target populations and individuals in order to make crime prevention, criminal apprehension, and criminal justice processing efforts succeed. In fact, most of the programs discussed in this *Program Plan* rely upon precise and reliable classification and prediction instruments to enable them to achieve their objectives. This program is dedicated to making such instruments available to criminal justice researchers and criminal justice practitioners everywhere.

The problem

Crime accompanied by increased illicit drug use has grown so significantly over the last decade that it has become the most important problem facing our society. As a consequence of the high rates of crime, driven in part by drugs, and the rising demand by society that the perpetrators of these crimes be punished, increasing numbers of persons are being convicted and sentenced to jail or prison. In 1987, the number of incarcerated offenders exceeded one-half million. Further, the number of people on probation has increased at an even higher rate.

Criminal justice officials are continually being confronted with crisis situations within jails and prisons because of the stresses from having to manage these people in limited jail and prison facilities. Prison riots such as those in Atlanta or in New Mexico cannot be tolerated. On the street, officials face more crises due to the premature release of dangerous prisoners. Victimization of some inmates and staff by other inmates is making prisons more dangerous. Victimization of citizens by persons on pretrial release, probation, parole, or some form of temporary release must be eliminated.

Issues as to the precise amount and types of punishment for incarcerated offenders are still being debated, but questions concerning the conditions of confinement, and risk to the public, correctional staff, and other inmates are management decisions that must and can be improved through research. Although rehabilitation does not appear to work for most offenders, approximately one-third of those released from prisons are not rearrested. Improved classification and prediction systems will permit us to develop procedures to identify both the best risks for release and those who should remain incarcerated. By keeping the highest risk offenders incapacitated, crime rates in our cities will be reduced. Findings from classification and prediction research have direct impact upon criminal justice policies pertaining to sentencing, probation and parole, jail and prison management, and upon many other societal problems.

NIJ research to date has been very promising in its examination of the methodological bases to improve classification and prediction and in developing and testing new classification and prediction systems for both specialized offenders (such as rapists) and those offenders who commit a variety of crimes, many of which are serious.

This program is designed to support the accumulation of a body of research on the classification of offenders and the prediction of future dangerousness. Research results from this program have had and will continue to have direct policy impact upon many criminal justice practices—jail and prison construction needs, pretrial release decisions, priority prosecution decisions, sentencing decisions, the management of jails and prisons, the management of probation and parole, the timing and conditions of parole, and in some jurisdictions, the selection of cases for early release. Thus, classification and prediction research cuts across all the boundaries of the criminal justice system and deals with most of the critical problems facing criminal justice administrators daily. In addition to these criminal justice system benefits, improved classification and prediction procedures will save millions of dollars, lessen victimization, and reduce crime and the fear of crime.

SCOPE

The book *Prediction and Classification: Criminal Justice Decisionmaking* is a significant product of this research program. It brings together much of what is known about key topics of offender classification and prediction. It includes a careful discussion of the legal and ethical issues involved in the implementation of classification and prediction systems in applied settings. Many of the methodological problems of classification and prediction are examined. For those applicants to this program who have not yet familiarized themselves with this volume, it is strongly suggested that they do so prior to completing their project designs.

Under NIJ sponsorship, a number of grants have addressed critical issues in offender classification and prediction. Brandeis University (84–IJ–CX–0055) developed and evaluated criteria to help prosecutors identify the most violent, persistent, and high-rate offenders for priority prosecution. Florida State University (84–IJ–CX–0016), the University of Cincinnati (85–IJ–CX–0063), and the Massachusetts Treatment Center/ Brandeis University (85–IJ–CX–0072)

have developed or evaluated classification systems to improve the handling of criminals within our jail and prison systems. Carnegie-Mellon University (86–IJ–CX–0039) and the National Bureau of Economic Research (89–IJ–CX–0010) are developing better prediction scales of future offender criminality and procedures for assessing the accuracy and utility of existing prediction scales. This research will have a direct bearing on insuring that high-risk offenders are not released prematurely into the community, thereby augmenting our serious street crime crisis.

While substantial research progress has been and is continuing to be made, additional research to build on these studies is needed. The next section describes specific research topics of concern for fiscal year 1990. Obviously, this listing is intended to be illustrative rather than exhaustive.

Development of improved analytic methods for classification or prediction of criminal behavior. This program has shown considerable interest in adapting improved statistical tools and mathematical models for assessment of risks that are important in criminal justice decision-making. The predictive power of most of these models has yet to be demonstrated in empirically rigorous tests. This program has an interest in supporting further development of innovative methods, particularly for an approach that might produce a significant breakthrough in this critical area. All applications must include tests indicative of the results that would be obtained if the methodology were routinely applied as a prediction device or a classification system to inform criminal justice decisions.

Prediction of criminal events. Over the last decade or so there has emerged a body of research literature that attempts to identify classes of offenders that are significantly different in their patterns and rates of offending and that tries to infer from the sequence of events in criminal histories what are the significant determinants for predicting the timing and the type of the next criminal incident. The scientific goal and ultimately the policy significance of this line of research is to generate information for the design of prediction instruments to assist criminal justice officials in making better probation, parole, and incarceration decisions for an offender, given what is known at a particular point about his history of deviance.

Secondary data analyses. Over several years, the National Institute of Justice and, in particular, the Offender Classification and Prediction of Criminal Behavior Program within the Institute, supported a number of research efforts that amassed a large amount of data on offender behavior over long periods of time. These data sets have obviously generated many new insights and results for criminal justice researchers and practitioners. The National Institute believes that much more may be extracted from these rich data sources, housed at the University of Michigan. A brief listing here can only suggest the actual arrays that are described in *Data Resources of the National Institute of Justice*, which is available free from the NIJ National Criminal Justice Reference Service (telephone 800–851–3420). The data of interest here would certainly include data on the sexual offender from the Massachusetts Treatment Center (Prentky and Knight, *Dangerous Sex Offenders*), from the California Youth Authority (Haapanen and Jesness, *Early Identification of Chronic Offenders*), and from the New York State prison system (Wright,

Improving Correctional Classification). Projects that seek to advance our knowledge and ability to classify and predict criminal behavior using these or similar data resources are especially sought.

Applicants who wish to pursue some aspect of this field of inquiry are again strongly encouraged to incorporate an empirical test of predictive power into their research design if this is at all possible.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Offender Classification and Prediction
of Criminal Behavior Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

There will be two opportunities to submit proposals this year. Completed proposals must be received at the National Institute of Justice no later than 5 p.m., January 12, 1990, to be considered for the first cycle, and 5 p.m., May 2, 1990, for the second. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Richard S. Laymon, Program Manager, Offender Classification and Prediction of Criminal Behavior Program, at the above address, or contact him at 202–724–7631.

Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Laymon to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

1. D.M. Gottfredson and M. Tonry, eds., *Prediction and Classification: Criminal Justice Decisionmaking (Crime and Justice 9)*, University of Chicago Press, 1987.

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Jan M. Chaiken and Marcia R. Chaiken, *Varieties of Criminal Behavior*, Santa Monica, RAND, 1982.

D.P. Farrington and R. Tarling, *Prediction in Criminology*, Albany, State University of New York Press, 1985.

D.C. Gibbons, "Offender typologies—two decades later," *British Journal of Psychology* 15, 2 (1975): 140–156.

R. Hood and R. Sparks, *Key Issues in Criminology*, New York, McGraw-Hill, 1975.

E.I. Megargee and M.J. Bohn, Jr., *Classifying Criminal Offenders*, Beverly Hills, Sage, 1979.

J. Monahan, *Clinical Prediction of Violent Behavior*, Rockville, Maryland, U.S. Department of Health and Human Services, 1981.

B. Wiersema, C. Loftin, and W. S. W. Huang, comps., *Data Resources of the National Institute*, third edition, National Institute of Justice, 1988.

89–IJ–CX–0012. Judgment and Decision Models: A 15-year Longitudinal Analysis of Alternative Decisionmaking Approaches Used by Oklahoma Probation and Parole, Oklahoma State University.

89–IJ–CX–0010. Improving Predictions of Offender Recidivism and Patterns of Offender Crime, National Bureau of Economic Research.

88–IJ–CX–0029. Developmental Models of Young Adult Criminality, Columbia University.

88–IJ–CX–0022. Rates of Committing Serious Crimes, Frequency of Arrest, and Community Factors, Abt Associates, Inc.

88–IJ–CX–0021. Classification of Rapists: Implementation and Validation, Brandeis University and Massachusetts Treatment Center at Bridgewater.

87–IJ–CX–0045. Patterns of Drug Use and Their Relation to Improving Prediction of Patterns of Delinquency and Crime, University of Iowa.

87–IJ–CX–0047. Predicting Pretrial Success: A Comparison of Techniques, Wisconsin Correctional Service.

87–IJ–CX–0048. Improving Self-Report Methodology for Obtaining More Reliable Offending Rate Data, Colorado Division of Criminal Justice.

86–IJ–CX–0052. Violent Offenders in Two Birth Cohorts: Patterns in Violent and Serious Nonviolent Recidivism and Their Implications for Public Policy, University of Pennsylvania.

86–IJ–CX–0048. Classification, Prediction, and Criminal Justice Policy, Justice Policy Research Corporation.

86–IJ–CX–0039. Improved Techniques for Assessing the Accuracy of Recidivism Prediction Scales, Carnegie-Mellon University.

85–IJ–CX–0063. Psychological Classification of the Adult, Male Prison Inmate, University of Cincinnati.

best copy available

America is a violent place. In the past 25 years the number of homicides reported to the police has almost tripled, from 7,258 in 1962 to 20,675 in 1988. The murder rate in the United States is 8.4 per 100,000, higher than that of any other Western industrialized nation.[1] Homicide is the 11th leading cause of death in the Nation. It is the single greatest cause of death for black males aged 15 to 34, their deaths from homicide running 5 times the national rate.[2]

Violent crimes reported to the police increased dramatically, from 200 per 100,000 in 1965 to 637 per 100,000 in 1988. International victimization surveys show that property theft and other traditionally nonviolent crimes in the United States are roughly comparable between the United States and many European countries.[3] What distinguishes the U.S. crime picture is the extent and seriousness of violence.

Official statistics portray only a limited number of behaviors. The Uniform Crime Reporting system traditionally considers violent crime to include homicide, assault, rape, and robbery—and 1.6 million of these offenses were reported to the police in 1988, while another 2 million of these violent crimes are never reported to the police. But acts of violence are not so easily categorized. They are performed by individuals or in groups. They occur between strangers, casual acquaintances, or family members. Violence too often involves juveniles as victims and as offenders. Females as well as males can be violent offenders.

Reasons for violence are equally diverse. Personal violence may or may not be associated with violence against property. Violence can be motivated by prejudice, to promote theft or for sexual gratification. Drug and alcohol use is commonly associated with violent behavior. Rates of violent behavior vary by geography, urbanization, and impoverishment but violence occurs all too frequently in every part of the country and among all ethnic and class groups. Violence can be perpetrated with and without handguns, knives, clubs, or fists. Offenders can commit violent crimes frequently or only one or twice in their entire lives. Violence can be more or less serious, defined as a misdemeanor or a felony. Violent crime can involve relatively minor injury or more serious injuries resulting in hospitalization, chronic disabilities, or death.

Recent research on violent criminal behavior indicates that there may be critical points in an offender's development or career where intervention by family or society might be successful in preventing subsequent violent acts. Experimental research is needed to test these findings. Much of the research focuses on influences on offender development such as heredity, temperament, cognitive growth, diet and physical environment, and psychiatric disorders in general. Other developmental research examines the offender's childhood experiences as a victim of abuse or neglect and their effect on the offender's later violent activity. Finally, research into violent offenders' careers has found that many criminally violent people frequently interact with community health, education, and law enforcement services prior to entering

Violence prevention and control

their violent careers. In at least one instance, research shows that an intervention—the arrest of a spouse abuser—can reduce subsequent violence to the victim.[4]

A variety of interventions have shown limited effects on preventing violence, including the use of education to change attitudes toward violence and reduce fighting behavior, anti-drug abuse and anti-alcohol abuse programs, and psychiatric counseling programs for students and adults under stress. These kinds of programs could also be tested in prison settings. However, mounting such experimental interventions in the field requires careful planning and methods to identify appropriate target groups to receive the intervention and to gain their cooperation in the program. What will work and what should be tested will require extensive investigation and perhaps several years of experimentation and of followup.

Described briefly below are some of the research projects that have been funded under this program.

The Florida State University (88–IJ– CX–0006) is implementing an NIJ-supported study to identify the psychological, physical, and cultural-social indicators that differentiate violent offenders from nonviolent offenders, even those with similar profiles. The determination of these factors will be of critical assistance in designing interventions for individuals who have the potential for violence.

In a followup to her earlier NIJ study, Cathy Spatz Widom, **Indiana University** (89–IJ–CX–0007), is investigating the role of protective factors—those dispositional attributes, environmental conditions, biological predispositions, and positive events that act to mitigate against early negative experiences of abuse and neglect. The earlier study concluded that there are some individuals for whom the pathway between early childhood victimization and later criminality and violent behavior appears to be straightforward. But for a substantial group of abused or neglected individuals the study found no official record of delinquency or adult criminality.[5]

Research on the relationship between mental illness and violent criminal behavior has yielded contradictory results. Monahan and Steadman[6] concluded that the correlates of crime among the mentally ill appear to be the same as the correlates of crime among any other group. They further state that correlates of mental disorder among criminal offenders appear to be the same as the correlates of mental illness among other groups. However, Collins and Schalenger[7] have concluded that psychiatric disorders among male felons are more frequent than in the general population. Two projects are currently addressing this problem. The Social Science Research Institute of the **University of Southern California** (87–IJ–CX–0062), using a Danish birth cohort of more than 280,000 men and women for which there is over 40 years of data, is examining the relation between arrest information and mental hospital admissions and discharges. Policy Research Associates (88–IJ–CX–0039), using up to 20 years of longitudinal data on two cohorts of offenders and two cohorts of mental patients, will examine long-term relationships between violence and mental disorders in this country.

SCOPE

This program seeks research that could improve criminal justice practices to prevent, control, or treat violence. Violence is defined broadly as an act causing physical or serious emotional harm to a person or group of persons. It includes sexual assault, child abuse, stranger and familial confrontations, gang-, drug-, and race-related violence, and politically motivated terrorism. It is anticipated that individual projects will focus on a particular kind of violence. The unifying theme of the program is that the research should point toward criminal justice policies or practices that could reduce levels of violence.

This program's focus on treating and controlling violent behavior reflects NIJ's mandate to aid Federal, State and local criminal justice policymakers. The Institute recognizes that any explanation of the effectiveness of violence prevention and control must incorporate other variables that cause, facilitate, or are associated with violent behavior. It also recognizes that significant interactions with educational, medical, and human services communities are often necessary to achieve effective interventions. It is also possible that many assaultive crimes like homicide and rape do not begin as such. The difference between homicide and assault may in many cases be an artifact of the quality of medical service, emergency services, or the proximity of a weapon. Many sexual assaults may begin as simple assaults in families or as burglaries. Where appropriate, research proposals to this program should include such contextual factors in their research design.

DEADLINES
and further information

Ten (10) copies of fully executed proposals should be sent to:

Violence Prevention and Control Program
National Institute of Justice
633 Indiana Avenue NW., Room 900
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m., January 19, 1990, to be considered for the first cycle, and 5 p.m., April 27, 1990, for the second cycle. Extensions of these deadlines will not be permitted.

To obtain further information about this solicitation, researchers may write to Dr. Richard M. Rau, Program Manager, Violence Prevention and Control Program, at the above address, or contact him at 202–724–7631. Potential applicants who may want to clarify the appropriateness of a specific research idea for funding under this program are encouraged to call Dr. Rau to discuss it with him before undertaking the considerable effort required to prepare a proposal that would be competitive.

References and related grants

1. Federal Bureau of Investigation, *Crime In The United States, 1988*, August 1989.

2. D.C. Office of Criminal Justice Plans and Analysis, "Homicide in the District of Columbia," December 1988.

3. *International Crime Rates*, Bureau of Justice Statistics Special Report, May 1988.

4. Lawrence W. Sherman and Richard A. Berk, "The specific deterrent effects of arrest for domestic assault," *American Sociological Review* 49 (1984): 261–272. Kirk R. Williams and Richard Hawkins, "The meaning of arrest for wife assault," Criminology 27 (1989): 163–181.

5. Cathy Spatz Widom, "The cycle of violence," Science 244 (April 1989): 160–166.

6. J. Monahan and H.Steadman, "Crime and mental disorder: An epidemiological approach," *Crime and Justice* 4, ed. M. Tonry and N. Morris, University of Chicago Press, 1983.

7. J. Collins and W. Schalenger, "Prevalence of Psychiatric Disorder Among Admissions to Prison," paper presented to the American Society of Criminology, November 1983.

89–IJ–CX–0007. Childhood Victimization and Later Violent Behavior, Indiana University at Bloomington.

88–IJ–CX–0039. Mental Disorder and Violent Crime: A 20-Year Cohort Study, Policy Research Associates.

88–IJ–CX–0006. A Longitudinal Study of Violent Criminal Behavior, Florida State University.

88–IJ–CX–0002. Stakes and Risk in the Assessment of Violent Criminal Behavior, Justice Policy Research Corporation.

87–IJ–CX–0063. Crime and Mental Illness in a Birth Cohort, University of Southern California Social Science Research Institute.

Research Program Plan Announcements

Fellowship Programs

The Visiting Fellowships Program offers criminal justice practitioners and researchers a real opportunity to undertake independent research on policy-relevant issues in the criminal justice area. It is a path for the investigation of new approaches to resolving operational issues as well as becoming involved in a national program on criminal justice research directed at meeting the needs of Federal, State, and local agencies.

Selection of the Visiting Fellows is based on a competitive review and evaluation of proposals for independent study. Recipients of the awards will be located at the National Institute of Justice for a period ranging from 6 to 18 months. While at the Institute, the Fellows have the opportunity to participate in the development of plans for criminal justice research programs of national scope, interact with Institute staff and other Fellows, and present seminars on their own research. The program provides for full financial as well as logistical support and access to the abundant criminal justice resources in and around the Nation's Capital.

The research of interest to the Institute specifically includes those topics described under each program in this volume, though proposals addressing other topics are also welcome. Applicants are advised, however, that their proposals must meet the criteria specified in the section titled "Application Procedures and Requirements of Award Recipients."

Among the Institute's most recent Fellows are prime illustrations of the broad range of experience, purpose, and background the National Institute of Justice seeks in candidates for the program. For example,

> "The policy issues related to prosecuting a criminal case are full of choices related to organizing the middle stage of the justice process in ways to meet the competing demands of effectiveness, efficiency, and legality." Dr. William McDonald will treat an array of topics: plea bargaining, charging and early case screening, career criminal programs, delay reduction, the grand jury and preliminary hearing, interorganizational relations, especially police-prosecutor relations, and comparative and historical research that confront policymakers about how best to distribute the tasks of accusation and adjudication. Also, "There is a continuing interest and need to better understand the operations of organized crime and to interrupt or stop them using the RICO laws." Professor Ernesto Ugo Savona will examine the influence of RICO legislation and new law enforcement policies on the structure and activities of traditional organized crime. Professor Savona will focus particularly on the hypothesized increased international scope of these organized criminal groups and their greater infiltration in "legal" enterprises.

Other recent Fellows and their undertakings are listed at the end of this section.

Visiting fellowships

Scope

The Visiting Fellowships Program solicits proposals from two groups of criminal justice professionals, emphasizing the connection between research and practice. Based upon their backgrounds and credentials (each prospective candidate must have at least a bachelor's degree), candidates are classified as:

1. Practitioners—Middle- and upper-level criminal justice personnel who are usually employees of State or local government. The candidates bring with them an active knowledge of how the local communities function, of policy development and command structures of the justice system, and of innovations occurring at the local level. They include representatives from the police, the courts, corrections facilities, probation agencies, and victims services, and show a potential for future leadership.

2. Researchers—Personnel with broad and extensive criminal justice research experience. Candidates are usually drawn from colleges and universities and they usually propose research from which the findings could improve either the assumptions on which criminal justice operations are based, or actual field operations.

Selection for the program is competitive. It is based on the background and experience of the individual candidate as well as the quality and viability of the proposed project. Panels will review submissions to the Visiting Fellowships Program based on the applicant's status as either a practitioner or a researcher. The following types of proposals *are not eligible* for consideration:

1. Action-oriented programs where research plays only a minor role (actual provision of training or treatment programs, etc.).

2. Part-time research efforts.

3. Projects from students seeking support for graduate or undergraduate work.

4. Projects from former NIJ Visiting Fellows.

Successful candidates are invited to join the National Institute of Justice staff in Washington, D.C. There they enjoy the opportunity to interact with the Institute staff, national leaders in their field, and other Visiting Fellows as well as the opportunity to develop, carry out, and present their projects. Eighty percent of the Fellowship period must be spent at the Institute.

Requirements for the Visiting Fellowships Program are as follows:

- Projects should begin between January 1990 and December 1990. Adjustments can be made for special circumstances. The projects can run from 6 to 18 months.

- NIJ support will cover: Fellow's salary, fringe benefits, reasonable relocation costs, travel essential to the project, supplementary expenses (some special equipment, etc.), and office costs (telephone, computers, supplies, furniture, etc.). [Salary may be adjusted based on any difference in cost of living between

the applicant's residence and the Washington, D.C., area.]

■ Awards can be made: (1) to individuals and (2) through an intergovernmental personnel action (IPA) to the recipient's parent organization. To be eligible for an IPA appointment, the candidate must be an official of State or local government or a nonprofit criminal justice organization certified as eligible by the U.S. Office of Personnel Management.

DEADLINES and further information

Funding for this program has been tentatively set at $250,000, which will typically support two to three Fellowships. Application and selection procedures for the Visiting Fellowships Program are largely the same as those for other grant programs.

Ten (10) copies of fully executed proposals should be sent to:

Visiting Fellowships Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on February 16, 1990. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting proposals. To obtain further information, potential applicants may contact Dr. Richard M. Rau at 202–724–7631.

Recent and past Fellows and research endeavors

Charles DeWitt, Santa Clara, California, Jail Construction Specialist. Prison Construction Initiative, which identifies cost-effective means of building new facilities.

Dr. Garry Mendez, National Urban League, New York, N.Y. Examination of crime prevention in African-American communities using ethnicity, culture, and history values as a basis.

Dr. Charles H. Logan, University of Connecticut. A monograph to clarify the issues on both sides of the debate over privatization in corrections.

Kenneth R. Freeman, Deputy District Attorney for Los Angeles. A study to find more effective ways to investigate and prosecute child sexual abuse cases.

Dr. George Cole, University of Connecticut. Collection and enforcement of fines: issues and innovations.

Lt. John Buchanan II, Phoenix Police Department. Assessing the current status of police-prosecutor team efforts.

Dr. William McDonald, Georgetown University. Criminal prosecution: policy choices in the organization of the accusatory and adjudicative processes.

Dr. Arnett W. Gaston, Warden, Level II, New York City Department of Corrections. Development of a law enforcement executive management (LEEM) profile.

Dr. Ernesto Ugo Savona, Professor of Criminology, University of Trento, Trento, Italy. Changes in the structure and activities of traditional organized crime and the impact of legislation and law enforcement policies.

Graduate research fellowships

The purpose of the Graduate Research Fellowships Program is to encourage scholars to undertake research in criminal justice or directly related fields and to develop a continuing and capable cadre of individuals who can conduct research as well as operations directed at resolving critical issues in the criminal justice system. The National Institute of Justice, under congressional mandate, has vigorously supported this program for the past 20 years by funding graduate students at the critical dissertation stage of their academic careers. Through their sponsoring universities, doctoral students are awarded grants of up to $11,000 to support the completion of their dissertations. Dissertations resulting from this program have consistently demonstrated the potential for direct contributions to criminal justice policy and have advanced the body of knowledge concerning important criminal justice issues.

Research subjects of interest are broadly defined as the subject matter of the criminal justice system. If the proposed research appears to develop new knowledge, evaluate existing or proposed policies and practices, or revise old information, it has the potential of changing current practice and, therefore, has merit. Naturally, NIJ has great interest in topics that are suggested under the various program headings in other parts of this Plan, but there are few limitations other than that the research topic should be relevant to criminal justice. An examination of some of the fiscal year 1988 competitive winners demonstrates this point:

> "There are criminal cases in which innocent people have been accused, tried, convicted, sent to prison, and even executed based on faulty recollection of an eyewitness. Unconscious transference occurs when an eyewitness to a crime incorrectly identifies a familiar, but innocent person, from a police lineup." David Ross of Cornell University is undertaking three experiments: (1) to examine whether unconscious transference can be demonstrated, (2) to identify factors that explain how unconscious transference occurs, and (3) to test the effectiveness of two lineup procedures that could be used by law enforcement officials to eliminate or reduce unconscious transference.

> "Older Americans are a large and growing segment of our population. Research conducted over the past two decades has created a pool of knowledge about fear of crime. One consistent finding is that the elderly fear crime more than other age groups." Kathleen J. Hanrahan of Rutgers–The State University of New Jersey will expand on this finding by exploring (1) the salience of fear of crime relative to other fears and concerns, (2) the content of the fear, as well as its frequency, duration, and intensity, and (3) the extent to which fear of crime is clearly identified as a problem in the lives of older Americans.

> Peter Kraska of Sam Houston State University will provide a descriptive/explanatory account of the processing (from arrest to sentence), and factors related to the nature of the processing,

of drug offenders throughout the American criminal justice system. The data base to be utilized for these analyses will be the Offender-Based Transaction Statistics (1980–1985). He will be examining three research questions: (1) How is the drug offender actually processed through the system? (2) What are the temporal (1980–1985) and spatial differences/ relationships in the processing of drug offenders? and (3) What crimes are associated with dangerous drug arrests, charges, and convictions?

SCOPE

The Graduate Research Fellowships Program provides a limited number of Fellowships which will be awarded to doctoral candidates through sponsoring universities. The awards are designed to support students engaged in the research and writing of a doctoral dissertation in the areas of crime, crime prevention, criminal behavior, or criminal justice. Prior to the grant award, applicants must have completed all degree requirements except for the internship (where required) and the research, writing, and defense of the dissertation. Applicants are advised, however, that their proposals must also meet the criteria specified in the section titled, "Application procedures and requirements of award recipients."

Stipulations for the Graduate Research Fellowships are as follows:

■ Fellowship awards are for 1 year or less. Time extensions may be granted for the delivery of the dissertation but no further funds will be awarded. These time extensions must be requested before the expiration of the original grant and require the receipt of all progress reports showing reasonable progress toward the objectives identified in the original application.

■ The maximum amount of any one Fellowship is $11,000. The grant may include the Fellow's stipend, allowances for certain dependents, and certain university fees, including continuing registration, library, and matriculation fees. Major project costs are also included: clerical assistance, special supplies, reproduction, necessary local and out-of-town travel (reimbursed at the University's rate), foreign travel (with prior Institute approval), and computer time. Costs incurred prior to the formal grant award are not reimbursable.

■ Stipends and allowances are determined as follows:

(1) The Fellow's stipend is a pro-rated award computed on the basis of $5,000 for full-time study for a 12-month period.

(2) Allowances for dependents are provided in addition to the Fellow's stipend. Allowance rates are shown below:

Dependent Spouse	$ 500 per year
Dependent Children	
One child	$ 500 per year
Two children	$ 800 per year
Three or more children	$1,000 per year

The maximum amount allotted for the dependent allowance is $1,500; i.e., $500 for a spouse and $1,000 for three or more children, or $1,500 for four children and no dependent spouse.

These living supplements may be computed by either of two methods:

(1) Prorating of 12-month stipend. The total stipend plus any dependent

allowance must be prorated for part-time study and/or periods of less than 12 months.

For example, the total stipend for a Fellow ($5,000) with a dependent spouse ($500) and one dependent child ($500) who spends three-fourths of his/her time writing the dissertation for 6 months of the year is computed as follows:

3/4 time x 1/2 year x $6,000 = $2,250

(2) Continuation of employer's pay rate. A Fellow who has been regularly employed in teaching or research by the university or a related research organization, and for whom the dissertation requires leave from employment, may be supported at the employer's established rate of pay for the proportion of time devoted to study up to a maximum award of $5,000. Dependent allowances can then be prorated and added as shown above.

The proposal must be accompanied by a statement of the candidate's background. This statement should include information on the candidate's education, employment experience, and publications. The data should indicate if the candidate has met all requirements for the doctoral degree other than the dissertation, and, if not, when they will be met.

The candidate should have a letter of support from the adviser indicating his or her evaluation of the interests and potential of the candidate.

To be eligible to administer a Graduate Research Fellowship grant on behalf of a doctoral candidate, an institution must be fully accredited by one of the regional institutional accrediting commissions recognized by the U.S. Secretary of Education and the Council on Postsecondary Accreditation. Overhead costs are not allowed for this program.

DEADLINES
and further information

Funding for this program has been tentatively set at $150,000, which will typically support 10 to 17 Fellowships. With one exception, application and selection procedures for the Graduate Research Fellowships Program are largely the same as those for other grant programs. Instead of the 25-page project narrative required for other programs, Graduate Fellow applicants should submit a 10-page paper which addresses research objectives, hypotheses, and methodology; the appropriateness of the design to the issues raised; time schedules for major events of the study; and documentation to the effect that the needed cooperation from organizations will be forthcoming.

With the one exception of the paper length, applicants should carefully follow all of the procedures outlined in the Application Procedures section on pages 1 through 7 of this booklet.

An original and nine (9) copies of fully executed proposals should be sent to:

Graduate Research Fellowships Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on February 16, 1990. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability or proposal content before submitting proposals. To obtain further information, potential applicants may contact Dr. Richard S. Laymon or Mrs. Rosemary Murphy at the Institute at 202–724–7635.

Recent related grants

88–IJ–CJ–0008. The Targeted Urban Crime Narcotics Task Force.

88–IJ–CX–0017. The Criminal Justice System's Handling of Drug Offenders.

88–IJ–CX–0023. Improving Eyewitness Memory.

88–IJ–CX–0024. A Biochemical and Histological Characterization of Blood Group Active Glycoproteins in Semen.

88–IJ–CX–0025. Influences of Adolescent Delinquent Behavior.

88–IJ–CX–0027. Older Americans and Fear of Crime.

Over the last 20 years, the National Institute of Justice has funded numerous projects that have made significant contributions to our understanding of the operation of the criminal justice system. Many of these projects have undertaken costly and time-consuming extensive data collection. The Institute's interest in these research data, however, does not end with the closing of the original work. The re-examination of the data generated by these projects is an important research tool that can produce innovative research findings long after the primary analysis has been completed. In addition, secondary analysis can corroborate original findings and give greater confidence to research findings.

The Summer Research Fellowship Program is aimed at the reanalysis of existing research data, particularly of data sets resulting from NIJ-sponsored research. Presently, NIJ has about 140 data tapes that are available and easily accessible for secondary analysis. Past Summer Fellowships have provided new insight into crime and criminal justice policy issues. For example, a 1987 Fellow reexamined a portion of the Vera Institute of Justice project on employment and crime. A central purpose of this Fellowship was to better understand the choice process individuals engage in to decide whether to participate in crime or employment. This was done by using a labor theoretic approach with rational choice models to investigate crime and work participation. The results of this analysis point to the notion that, at the margin, unemployment or working shortened periods is associated with increased participation in crime.

A 1988 Fellow examined data collected by the Indiana University Police Services Study on relationships between citizen participation in organized community crime control activities and neighborhood crime rates. He found organized anticrime activity to be stimulated by serious crime. Communities with lower social cohesion (and consequently less informal social control) tended to have more formal organizing against crime. Finally, organized anticrime activity seemed more visible in communities where people believed they were obtaining inadequate police services. The above findings tended to offset the often reported "class bias" in anticrime organizing where better-off communities with lower crime rates are found to have more organized crime activity.

A 1989 Fellow is planning to replicate three studies on felony probation outcomes using a data set from the New Jersey Administrative Office of the Courts studies produced for the Institute by Smith and Smith. This research will involve an analysis of the success of felony probation in New Jersey and an analysis of the relationship of offense type and recidivism. The Fellow will compare the New Jersey findings to findings of studies completed in California, Missouri, and Kentucky. This analysis will add to our knowledge regarding the efficacy of felony probation.

Summer research fellowships

SCOPE

This program solicits proposals from researchers who are interested in re-analyzing existing machine-readable data sets to gain new insight or correct problems in original analyses. It is intended for both senior researchers, relatively new Ph.D.'s, and those in between. Project hypotheses and appropriate data are the choice of the applicants. However, proposals to examine data sets originally generated under the auspices of the National Institute of Justice and released through the Criminal Justice Data Archive at the University of Michigan's Inter-University Consortium for Political and Social Research are of particular interest. We do not, however, accept applications from individuals seeking to conduct further analyses on data they have collected.

A catalog of abstracts from all publicly archived data sets from NIJ-sponsored research, *Data Resources of the National Institute of Justice* (Third Edition), is available free from the National Criminal Justice Reference Service by telephoning 800–851–3420. Studies based on other data sets will, of course, also be considered for funding under this program. In such cases, applicants need to make a special effort to describe in some detail the data for the proposed analyses.

It should be noted that candidates must plan to begin work after June 1, 1990. Final products are due no later than October 31, 1990. Unlike that of the Visiting Fellowships Program, all work for Summer Fellowships is done at the researcher's home institution.

DEADLINES
and further information

Funding for this program has been tentatively set at $50,000, which will typically support five awards. These awards will not be grants but small contracts. Therefore, application procedures for the Summer Research Fellowship Program are different from those for other programs.

Candidates for this program should submit:

A. A proposal not to exceed 10 double-spaced pages. This paper should include:
(1) the policy question to be addressed;
(2) the hypotheses to be investigated;
(3) the data set(s) to be employed;
(4) the nature of the data analyses to be performed including a description of how planned analyses replicate or build on results obtained by others using this data;
(5) the potential policy implications; and
(6) expected products of the research.

B. A detailed one-page budget for salaries, supplies, and computing costs, etc., not to exceed $10,000. Applicants should include the cost of one trip to present the results of this research at the annual meeting of the American Society of Criminology. This program is designed as summer support for individuals; the inclusion of institutional, indirect costs is strongly discouraged.

C. Resumes for key personnel including background, academic work, professional experience, and pertinent work and publications.

The standard grant application form 424 is *not* appropriate for this program.

Six (6) copies of fully executed proposals should be sent to:

Summer Research Fellowship Program
National Institute of Justice
633 Indiana Avenue NW.
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice no later than 5 p.m. on February 2, 1990. Extensions will not be granted.

Applicants are encouraged to contact the Institute to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may contact Ms. Winifred L. Reed at the Institute (Telephone: 202–724–7636).

Recent Fellowships

The Effectiveness of Felony Probation: A Replication and Extension of Three Studies, John T. Whitehead, East Tennessee State University.

An Examination of Social Control Theory for Sex and Race Subgroups, Susan L. Caulfield, Indiana University.

An Examination of the Sentencing Decisions of Black and White Judges, Cassia Spohn, University of Nebraska, Omaha.

Effects of Subjective Labels on Delinquency, Raymond Paternoster and Ruth Triplett, University of Maryland.

Another Look at the Attrition of Justice Phenomenon, Patrick G. Jackson, Sonoma State University.

Special initiative on drug program evaluation

The intensity of the Nation's war on drugs deepens the need for well-grounded information on practices that work in operational situations. As the National Drug Control Strategy notes in its research agenda, we need a larger and more flexible information base in order to help us refine and target our efforts to counter drugs. We not only need to know "what works," but when it works and under what limits. This need forms the mandate of the Institute's Special Initiative on Drug Program Evaluation.

The mission of this special initiative is to evaluate innovative and model programs in the enforcement of drug control efforts as well as prevention and treatment programs conducted by criminal justice agencies. The goal of the program is to provide rapid, reliable information to State and local agencies on the effectiveness of new approaches to reduce drug use and drug-related crime and on model programs that have been targeted for replication on a national scale. It distinguishes itself from the Institute's research program in drugs, alcohol, and crime by its focus on information for operational agencies rather than the scientific community. Its objective is more oriented toward operational effectiveness than basic research.

The Institute awarded a series of evaluation grants during fiscal year 1989 that reflect topics of interest to this initiative. The majority of the studies will evaluate projects sponsored by the Bureau of Justice Assistance (BJA). They include shock incarceration, law enforcement in public housing, user accountability sanctions, assets seizure, drug offender treatment, drug case management, street-level enforcement, community-based prevention, interjurisdictional drug task forces, and State drug strategies. This year's initiative concerns itself not only with BJA-sponsored programs but also with innovative practices embodied in the President's National Drug Control Strategy. Specific examples include money-laundering investigations, a wide range of street-level enforcement tactics, sentencing alternatives to relieve prison and probation crowding, user accountability sanctions, innovative sanctions for juvenile drug abusers, drug-free school zone ordinances, and expanded use of drug-testing in the criminal justice system. The initiative's scope is not confined to the topics mentioned. It is focused on the need for innovation and for rapid and reliable information in operational agencies.

Because resources and funding priorities for the program evaluation initiative have not yet been established, application deadlines and funding guidance will be announced at a later date. Readers interested in obtaining a copy of the announcement should contact the National Criminal Justice Reference Service (NCJRS). The NCJRS toll-free number is 800–851–3420. After examining that announcement, interested applicants may contact Dr. Edwin Zedlewski to discuss topic suitability. His telephone number is 202–724–2953.

Other Programs

Crime and Justice research volumes

Since 1979, the National Institute of Justice has supported the production of original research review articles in the publication series, *Crime and Justice*. This series is edited by Norval Morris and Michael Tonry and is published by the University of Chicago Press. *Crime and Justice* is designed to bridge the gaps among the various legal and scientific disciplines concerned with criminal justice policy issues and to summarize key research advances for policymakers, practitioners, and researchers.

The series produces an annual volume of essays written by leading scholars here and abroad on numerous contemporary issues facing the American criminal justice community, such as prison crowding and violent crime. In addition, the *Crime and Justice* series includes special volumes devoted to a single theme. Past thematic volumes have been published on *Communities and Crime*, *Prediction and Classification*, and *Family Violence*. Scheduled for publication in fiscal year 1990 is a volume on *Drugs and Crime* as well as the annual research review volume.

For more information about the *Crime and Justice* series, write to Mary Graham, Publications Manager, or contact her at 202–272–6007.

Data Resources Program

The purpose of the Data Resources Program of the National Institute of Justice is to facilitate production of fully documented, machine-readable, NIJ-supported criminal justice research data sets to be made available for subsequent analysis through a public data archive. This program obtains machine-readable data, codebooks, and other documentation as it is delivered to NIJ and reviews it for accuracy, completeness, and clarity. In addition, the Data Resources Program promotes access to and use of these data.

Since 1984, the Data Resources Program has assessed the quality of over 250 research data sets. Unfortunately, many of the early data were so poorly documented that they could not be used for subsequent research. But by August 1989, the Data Resources Program had reviewed and made available 140 data sets; another 43 data sets are currently under review and most of these are expected to be released in 1989. After the NIJ Data Resources Program reviews and edits data sets, they are made available to the public through public archives such as the Inter-University Consortium for Political and Social Research at the University of Michigan.

The Data Resources Program was competed as a contract in fiscal year 1989. For further information about this program, write to Dr. Joel H. Garner, Program Manager, or contact him at 202–724–2967.

Electronic Bulletin Board system

Telecommunicate with NIJ's National Criminal Justice Reference Service (NCJRS) Bulletin Board system (BBS) at 301–738–8895 for a wide range of information on the National Institute of Justice and other Office of Justice Programs agencies. Using modem settings of 2400 baud or less, and n–8–1, you can connect with the Board and enroll. For further information, write to G. Martin Lively, or contact him at 202–272–6011.

Other programs of the National Institute of Justice

Human Development and Criminal Behavior

With its initiation in February 1988, the National Program on Human Development and Criminal Behavior has focused on the life-cycle development of violent crime, predatory crime, and other forms of serious antisocial behavior. This program was established because of the widely shared belief that significant empirical and theoretical progress in understanding the causes, treatment, and prevention of crime requires improved knowledge about the relationship between early childhood development and the subsequent development of delinquency, crime, and other antisocial behavior.

The program is jointly sponsored by the National Institute of Justice and the John D. and Catherine T. MacArthur Foundation. Additional funding is being sought from other governmental agencies and private foundations. During the program's first 2 years, its primary task is to develop further the design of prospective longitudinal cohort studies, coupled where feasible with assessments of the effects of program interventions. The study designs are expected to involve common measurement features and, by their very size and scope, require extensive collaboration between teams of researchers and local operational agencies.

Initial awards have been made by the MacArthur Foundation and the National Institute of Justice to the Castine Research Corporation. The Program's Research Advisory Board is chaired by Albert J. Reiss, Jr., and includes Norval Morris, James Q. Wilson, Lloyd Ohlin, Alfred Blumstein, Lee Robins, Felton Earls, Malcolm Klein, David Farrington, and Michael Tonry. Numerous other nationally recognized researchers are contributing to the development of criteria for the program's data collection sites, research designs, and the feasibility of including experimental tests of prevention programs. The program's design anticipates the participation of an expanding number of researchers from a variety of social science and medical disciplines.

The program is scheduled to produce a report setting out the basic elements of a proposed longitudinal design by September 30, 1989. In addition to the technical research design, the report is expected to include administrative options for funding and implementing this large-scale, long-term program. Copies of this report will be available during the fall of 1989 for review and comment by the research community.

For more information about this program, write to Dr. Joel H. Garner, Program Manager, or contact him at 202–724–2967.

Drug Use Forecasting Program (DUF)

The NIJ Drug Use Forecasting (DUF) program is an innovative effort designed to measure both the levels and types of drug abuse in arrestee populations throughout the country and to track and report changes and trends in arrestee drug use over time. DUF is now being conducted in 21 cities and will be expanded during fiscal year 1990.

The basic program involves voluntary, anonymous interviews and urinalysis testing of samples of arrestees on a quarterly basis in each city; analysis of all urine samples by certified laboratories; collection and analysis of all arrest, demographic, and urinalysis testing data by NIJ staff; and periodic reports of the findings. The resulting information is provided directly to participating jurisdictions and to other Federal, State, and local officials.

During fiscal year 1990, NIJ plans to expand the program to 25 cities and to initiate an effort to determine the extent of drug use among illegal aliens entering the country and those arrested while working in the United States.

Drug Market Analysis Program

In fiscal year 1990, NIJ will implement an experimental program designed to use geographically based information about retail drug markets. The program will attempt to design and promote local multijurisdictional coordination and the collection, analysis, and use of real-time information about drug markets. This information will be designed to provide local police departments with the data needed to accurately assess and ultimately guide local antidrug enforcement activities.

Criminal Justice Simulation Models

The *National Drug Control Strategy* calls for research to develop more sophisticated criminal justice simulation models to allow examination of the systemwide impact of stiffer drug penalties; how many additional officers for street-level drug enforcement might be needed; where additional judges and prosecutors might be required; and when jails and prisons must be expanded. In fiscal year 1990, NIJ will determine the objectives, data requirements, and software implications of such an effort and support the development of one or more simulation models.

Intramural research

The primary focus of the Institute's research program has historically been extramural research. The Institute funded universities, local agencies, and private firms to conduct research on a wide variety of topics and employed Institute staff as research administrators. Research performed within the Institute was usually conducted by Visiting Fellows on leave from academic institutions and operational agencies. During the past 6 years, however, the Institute has expanded staff participation in the intramural research program. Institute staff members have studied issues that were particularly relevant to public policy or seemed appropriate to support internally because of staff expertise. The intramural research undertaken has often been on a policy problem to which the Institute could respond promptly.

Internal research projects are often topical. The Institute's publications on trends in electronic monitoring have been the authoritative source of information on the offender populations and management practices of that field. Intramural research on urine testing has shown the effectiveness of testing for offender supervision and helped formulate future programs of community-based supervision of drug offenders. Research on police deaths showed that family disturbance calls were not nearly as dangerous as police believed them to be. Institute research on Federal sentencing practices was influential in shaping the sentencing guidelines developed by the U.S. Sentencing Commission. A sample of intramural research topics is listed below.

Intramural research topics:

- Justice System Coordination
- Police Officer Deaths
- Pretrial Criminal Behavior
- Crime and Demographics
- Predicting Criminal Careers
- Sentencing Guidelines
- Narcotics Enforcement Tactics

- Trade Secrets Theft
- Correctional Employment Programs
- Modeling Recidivism

Institute staff members are encouraged to develop their own research projects. They present their findings at dozens of conferences each year to both technical and nontechnical audiences as well as by publishing in criminal justice journals. The Institute also publishes an internal series of Discussion Papers that are derived from intramural research. Copies of NIJ Discussion Papers can be obtained from the National Criminal Justice Reference Service.

For more information about this program, write to Dr. Edwin Zedlewski, or contact him at 202–724–2953.

National Assessment Program

The National Assessment Program supports a triennial national survey of eight professional subgroups within criminal justice to ensure that the needs and priorities of policymakers and practitioners inform the Institute's research agenda. Results are also available for use by the field.

For more information about this program, write to Jonathan Budd, Program Manager, or contact him at 202–272–6040.

National Criminal Justice Reference Service

The National Institute of Justice founded the National Criminal Justice Reference Service (NCJRS) in 1972 to fulfill the Institute's statutory mandate to maintain a national and international clearinghouse of criminal justice information. NCJRS is designed to benefit researchers and practitioners in all aspects of Federal, State, and local criminal justice operations.

NCJRS has one of the world's most significant criminal justice libraries with approximately 100,000 documents. Information about these documents can be searched and retrieved through an automated reference system available to the public either through NCJRS reference specialists or through the commercial data base vendor DIALOG. NCJRS also maintains specialized clearinghouses in juvenile justice, victim assistance, criminal justice statistics, corrections construction, and AIDS in criminal justice.

Over 80,000 subscribers receive the bimonthly *NIJ Reports* magazine and other special mailings free of charge. Many other NIJ publications are available without charge; others are produced at a modest price to recover production and shipping costs.

The National Criminal Justice Reference Service has established the NCJRS Bulletin Board to provide fast access to online information for individuals and organizations involved in criminal justice policy and research. The Bulletin Board, a new service designed to enhance criminal justice information networking, helps practitioners share information, experiences, and views.

NCJRS also operates specialized information services for other Office of Justice Programs agencies—the Juvenile Justice Clearinghouse for the Office of Juvenile Justice and Delinquency Prevention, the National Victims Resource Center for the Office for Victims of Crime, the Justice Statistics Clearinghouse for the Bureau of Justice Statistics, and the Bureau of Justice Assistance Clearinghouse for the Bureau of Justice Assistance.

Since 1986, NCJRS has maintained a computerized data base on corrections construction. Through this *Construction*

Information Exchange, those planning to build or expand facilities can be put in touch with officials in other jurisdictions who have successfully used more efficient building techniques. In fiscal year 1990, NIJ plans to update and expand the data base on new corrections construction, expand the *Construction Bulletin* series, and expand publicity for the Exchange. Efforts will be made to target more specifically State and local correctional and planning officials.

Call NCJRS toll free at 800–851–3420 for technical assistance, search services, or information on how to become a subscriber. In Maryland and Metropolitan Washington, D.C., call 301–251–5500. For further information about the Electronic Bulletin Board, call Martin Lively at 202–272–6011, or dial the Bulletin Board at 301–738–8895.

Professional Conference Series

Established in 1977 to share research and development findings with State and local criminal justice executives, Professional Conference Series (PCS) has evolved into a related set of communications programs. Each year the Institute works with professional organizations and interest groups to conduct one or more national conferences. These bring together 200 to 300 leading researchers and policy officials to focus on significant new research findings and operational achievements. Recent national conferences include Policing: State of the Art, Presiding in Criminal Court, and AIDS and the Courts.

Special conferences assemble small groups of experts, frequently from different professional disciplines, to examine the most appropriate research or developmental approach to a complex problem. One such recent conference on Less Than Lethal Weapons led to the recommendation for the development of new technologies in this area. Special conferences on "Analyzing Hair to Determine Illegal Drug Use" and "Future Research on Computer Crime" were held in fiscal 1989. The PCS program also supports training workshops for other NIJ programs, such as for project staff of the DUF sites and correctional practitioners of jail and prison industries, as well as a modest HOST program, which enables interested practitioners to visit sites that house program innovations developed by the Institute.

For further information about any of the Professional Conference Service services, contact John Thomas at 202–272–6006.

Research Applications Program

The Research Applications Program conducts research projects to develop products tailored to the needs of different criminal justice policy and practitioner audiences. In an effort to reach the "line" practitioner, the midlevel management and the executive levels of both public and private organizations concerned with criminal justice, the program experiments with a wide variety of formats.

Chief among them is the National Institute of Justice publication series *Issues and Practices in Criminal Justice*. These reports represent the program options and management issues in a topic area, based on a review of research and evaluation findings, operational experience, and expert opinion on the subject. *Issues and Practices* reports provide criminal justice administrators and managers with the information to make informed choices in planning and improving programs and practice. Other publication series produced under this program include *Research In Brief* and *Research In Action*, which contain concise summaries of

single or multiple research studies or of state-of-the-art practice in a given topic area.

Program products are widely disseminated and serve as the basis for NIJ policy conferences; for training by the Institute and other Federal, State, and local agencies; and for tests and demonstrations sponsored by others. Topics cover all aspects of the criminal justice system and include priorities such as drugs and crime, computer crime, and jail and prison crowding. Projects are also initiated in areas where little or no research related to criminal justice exists, for example, child abuse, the impact of AIDS on the criminal justice system, and privatization. In fiscal year 1990, this program produced a review of shock incarceration and "boot camp" programs. In response to the *National Drug Control Strategy*, NIJ will conduct additional study to produce an operations manual for boot camps and to determine the attitudes of criminal justice system professionals regarding the use of intermediate sanctions. Among the issues to be considered are the place of such camps in the continuum of sanctions, the goals of such programs, and the characteristics of appropriate offenders. Researchers and practitioners from a wide variety of disciplines are involved as project advisers, reviewers, and investigators in the development of these projects.

The Research Applications Program was competed as a contract in fiscal year 1989. For further information write to Carol Petrie, Program Manager, or contact her at 202–272–6012.

School Crime Survey: special supplement to National Crime Survey

The Bureau of the Census administered a special supplement to the National Crime Survey (NCS) during January through June 1989. The supplement was administered to all eligible households in the NCS sample during those months. The supplement, developed jointly by the Bureau of Justice Statistics and the National Institute of Justice, asks children of ages 12 to 18 in junior high and high school about their experiences with school crime. The supplement replicates the primary victimization questions of the survey; however, it keys the students to events occurring in school or en route to and from school. It also captures information about the school environment and the child's perception of drug and crime activity within the school environment.

The Institute and the Bureau of Justice Statistics are sponsoring research to analyze this special supplement. A sum of $200,000 has been set aside for this purpose. Grant applications, not to exceed $50,000, are solicited under the Institute's Victims of Crime Program. Applicants are invited to submit proposals that address a specific theme covered by the supplement such as the relationship between school crime and other youth victimization, school crime and the availability of drugs, or perceptions of school safety and actual victimization.

Copies of the supplemental questionnaire and a preliminary assessment of the reliability of the questions will be available from the National Criminal Justice Reference Service (NCJRS) in January 1990. (Copies of the questionnaire are available now.) To reach NCJRS, dial 800–851–3420. After examining this material, questions about topic viability or proposal content may be directed to Dr. Richard M. Titus at 202–724–7686. Applications should be submitted no later than May 25, 1990.

Technical Assistance Program

The Technical Assistance (TA) Program of the National Institute of Justice pro-

vides NIJ with technical assistance and peer review essential to social science research. Operated under contract, the TA Program maintains a consultant pool of persons recruited from universities and colleges and from operational agencies in the criminal justice system; conducts peer review of the almost 400 proposals received by NIJ annually and prepares written reviews of each proposal for use in grant award decisions; provides travel and logistical arrangements for each of 22 peer review panel meetings in Washington, D.C.; provides planning and design assistance for research projects; convenes workshops of researchers and practitioners; and arranges for presentations at professional meetings and conferences.

For information about how to become a consultant for the TA Program, write to Charles Q. Williams, NIJ TA Project Director, Koba Associates, Suite 200, 1156 15th Street NW., Washington, DC 20005, or call him at 202–328–5728. For information about the management of the TA Program, write to Terry M. Simpson, NIJ Budget Officer and TA Program Manager, or contact him at 202–724–2953.

Technology Assessment Program

The National Institute of Justice developed the Technology Assessment Program to help criminal justice agencies make informed decisions in selecting and making equipment purchases. The program develops minimum performance standards for products ranging from low-cost items such as batteries to big ticket purchases such as state-of-the-art communications equipment. In addition, the program tests these and other commercially available products such as soft body armor, metallic handcuffs, and portable radios. Results of product testing are published and disseminated throughout the criminal justice community. Three program components carry out these tasks.

The Advisory Council consists of more than 40 nationally recognized criminal justice practitioners from Federal, State, and local agencies who assess equipment needs and assist in the testing of priorities for development of equipment standards, guides, test reports, and other publications.

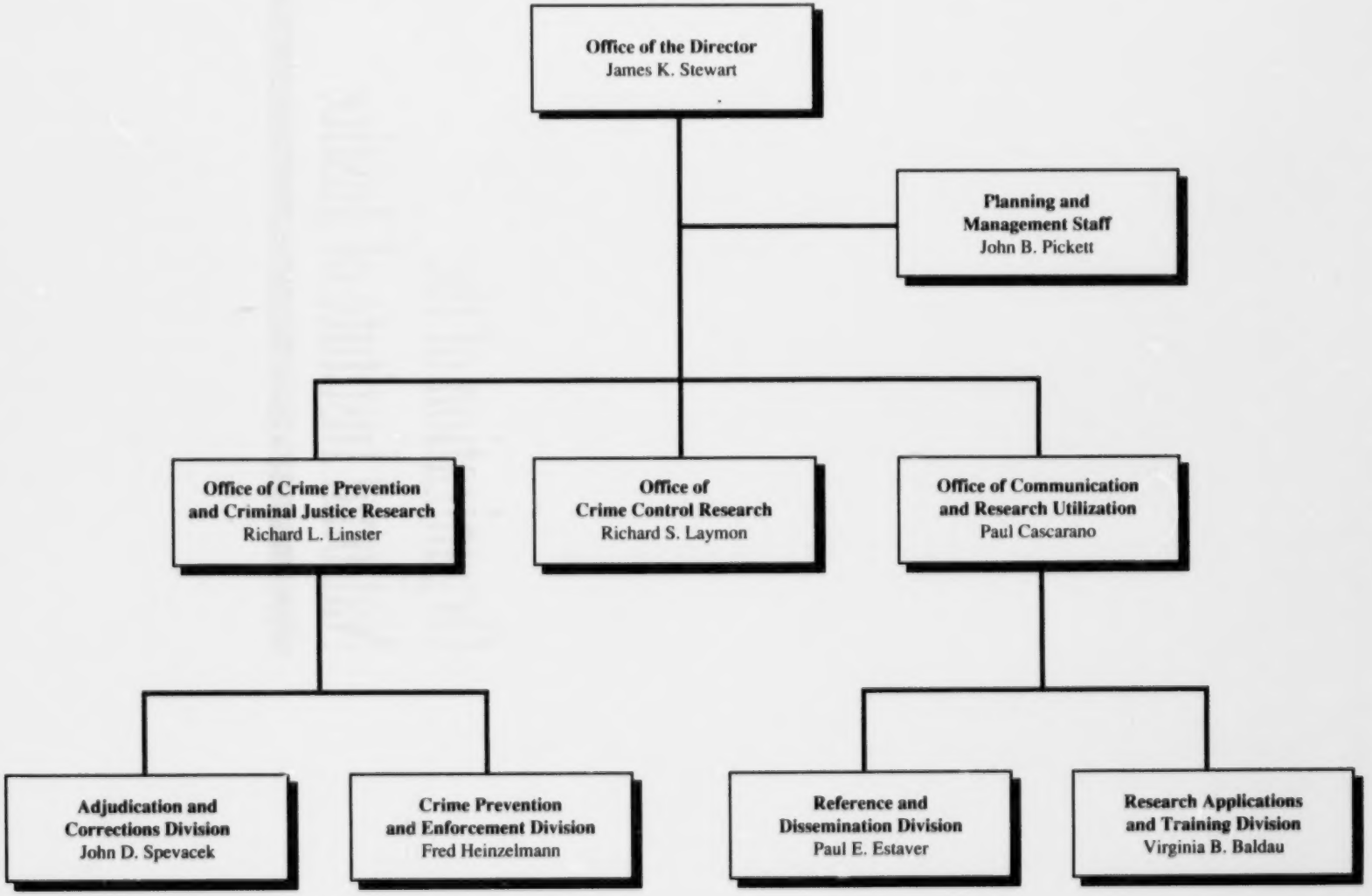
The Law Enforcement Standards Laboratory (LESL) of the National Institute of Standards and Technology (formerly the National Bureau of Standards)—under an interagency agreement with NIJ—develops minimum performance standards that increase the reliability of equipment through voluntary adoption of the standards by manufacturers. LESL also conducts research on new technology and develops technical reports and guides on how equipment performs in the field.

The Technology Assessment Program Information Center (TAPIC) coordinates the Advisory Council's activities, selects certified laboratories to test equipment, oversees the testing process, and publishes Equipment Performance Reports documenting test results. TAPIC also publishes Consumer Product Lists of equipment that complies with NIJ standards.

To obtain these and other publications and information about law enforcement equipment, call toll free at 800–24–TAPIC; in Maryland and the Metropolitan Washington, D. C., area, call 301–251–5060. For further information, write to Lester D. Shubin, Program Manager, or contact him at 202–272–6008.

Organization of the National Institute of Justice

Organization of the National Institute of Justice



Name	Title	Telephone number
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Richard L. Linster	Assistant Director	724–2966
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Phyllis O. Poole	Secretary	724–2942
Planning and Management Staff (PMS)		
John B. Pickett	Director	724–2945
Terry M. Simpson	Budget Officer; Program Manager, Technical Assistance	724–2953
Carrie L. Smith	Administrative Officer	724–2942
Edwin W. Zedlewski	Economist	724–2953
Denise I. Gadson	Management Analyst	724–2945
Office of Crime Prevention and Criminal Justice Research (OCPCJR)		
Richard L. Linster	Director (Acting)	724–2966
Joel H. Garner	Acting Special Assistant; Program Manager, Data Resources and Archives	724–2967
Louise A. Loften	Social Science Program Technician	724–2965
Elizabeth A. Chambers	Secretary	724–2958

Staff of the National Institute of Justice

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George D. Shollenberger	Program Manager, Public Safety and Security	724–2956
Richard M. Titus	Program Manager, Victims and the Criminal Justice System	724–7686
Craig Uchida	Program Manager, Metropolitan Area Drug Interruption Strategy (MADIS)	724–2959
Adjudication and Corrections Division		
John D. Spevacek	Director	724–7040
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Voncile B. Gowdy	Program Manager, Punishment and Control of Offenders	724–2951
Pamela K. Lattimore	Senior Research Associate	724–7459
Doris L. MacKenzie	Senior Research Associate	724–7460
Christy Visher	Senior Research Associate	724–7685
Center for Crime Control Research		
Richard S. Laymon	Director (Acting); Program Manager, Offender Classification and Prediction of Criminal Behavior	724–7631
Bernard A. Gropper	Program Manager, Drugs, Alcohol, and Crime	724–7631
Lana Harrison	Senior Research Associate	724–7631
Rosemary N. Murphy	Program Manager, Graduate Research Fellowships	724–7636
Richard M. Rau	Program Manager, Forensic Sciences and Criminal Justice Technology; Violent Criminal Behavior; Visiting Fellowships	724–7631

Name	Title	Telephone number
Winifred L. Reed	Program Manager, Criminal Careers and the Control of Crime; Ethnographies of Property Offenders; Summer Research Fellowships	724–7635
Audrey E. Blankenship	Secretary	724–7631

Office of Communication and Research Utilization

Paul Cascarano	Director	724–6001
L. Dawn Kidd	Secretary	724–6003

Reference and Dissemination Division

Paul E. Estaver	Director	724–2957
Clay Fulghum	Writer-Editor	272–6009
Mary Graham	Publications Manager	272–6007
Lester D. Shubin	Director, Science and Technology; and Program Manager, Technology Assessment Program	272–6008
Daniel J. Tompkins	Publications Coordinator	272–6088
John Whidden, M.D.	Assistant Program Manager, Technology Assessment	724–7635

Research Applications and Training Division

Virginia B. Baldau	Director	272–6004
Thomas F. Albrecht	Program Manager, Corrections	272–6041
Jonathan Budd	Program Manager, Law Enforcement, Computer Crime	272–6040
Cheryl Crawford	Program Manager, AIDS and the Criminal Justice System	272–6010
Geoffrey Laredo	Program Manager, Prosecution	272–6005
G. Martin Lively	Program Manager, Drug Use Forecasting (DUF)	272–6011
Joyce O'Neil	Drug Use Forecasting (DUF) Analyst	272–4687
Carol V. Petrie	Program Manager, Research Applications	272–6012
John A. Thomas	Program Manager, Professional Conference Series	272–6006
Frank Vaccarella	Program Manager, Intergovernmental Projects	272–6005

Peer Reviewers

National Institute of Justice peer review participants

The research programs of the National Institute of Justice rely on peer review of proposals to assess the technical merit and policy relevance of proposed research. The assistance of extramural peer reviewers continues to be essential to the accomplishment of the Institute's mission, and the Institute wishes to acknowledge with thanks the service of the following:

Allen H. Andrews, Jr., M.A.
Chief of Police
Peoria, Illinois

James Austin, Ph.D.
Director of Research
National Council on Crime and Delinquency
San Francisco, California

Jan S. Bashinski, M.Crim.
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Grant Application Forms

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

TYPE OF SUBMISSION:

Application
- ☐ Construction
- ☐ Non-Construction

Preapplication
- ☐ Construction
- ☐ Non-Construction

APPLICANT INFORMATION

Legal Name:

Organizational Unit:

Address *(give city, county, state, and zip code)*:

Name and telephone number of the person to be contacted on matters involving this application *(give area code)*

5. EMPLOYER IDENTIFICATION NUMBER (EIN):

☐☐ — ☐☐☐☐☐☐☐

6. TYPE OF APPLICATION:

☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es): ☐ ☐

A. Increase Award B. Decrease Award C. Increase Duration

D. Decrease Duration Other *(specify)*:

_____

7. TYPE OF APPLICANT: *(enter appropriate letter in box)* ☐

A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School Dist.
I. State Controlled Institution of Higher Learning
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify) _____

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐ ☐☐☐

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT *(cities, counties, states, etc.)*:

13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project

15. ESTIMATED FUNDING:		
a. Federal	$	.00
b. Applicant	$	.00
c. State	$	.00
d. Local	$	.00
e. Other	$	.00
f. Program Income	$	.00
g. TOTAL	$	.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE _____

b. NO. ☐ PROGRAM IS NOT COVERED BY E.O. 12372

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes," attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

Previous Editions Not Usable

Standard Form 424 (REV 4-88)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:
1.	Self-explanatory.
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3.	State use only (if applicable).
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7.	Enter the appropriate letter in the space provided.
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: — "New" means a new assistance award. — "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. — "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.
9.	Name of Federal agency from which assistance is being requested with this application.
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.
11.	Enter a brief descriptive title of the project. if more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
12.	List only the largest political entities affected (e.g., State, counties, cities).
13.	Self-explanatory.
14.	List the applicant's Congressional District and any District(s) affected by the program or project.
15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

OMB Approval No. 0348-0044

BUDGET INFORMATION — Non-Construction Programs

SECTION A – BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B – BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY (1)	(2)	(3)	(4)	Total (5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	$	$	$	$	$
7. Program Income	$	$	$	$	$

Standard Form 424A (4-88)
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	$	$	$	$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	$	$	$	$	$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 -19)	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:

23. Remarks

INSTRUCTIONS FOR THE SF-424A

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A,B,C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A,B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary
Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column* (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i — Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

INSTRUCTIONS FOR THE SF-424A *(continued)*

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal-Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 — Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

INSTRUCTIONS

PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.

b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodoloy that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.

d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.

b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in Attachment K to OMB Circular A-102 (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.

c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-102, A-110, A-122, A-128, and A-87, and E.O. 12372, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.

3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 U.S.C. 1501, et seq.)

4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.

5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.

7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.

8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Floor Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.

10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.

12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.

13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Justice Assistance Act or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973 as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; and the Department of Justice Non-Discrimination Regulations 28 CFR Part 42, Subparts C, D, E, and G.

14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin or sex against a recipient of funds, the recipient will forward a copy of the finding to the Office of Civil Rights Compliance (OCRC) of the Office of Justice Programs.

15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for $500,000 or more.

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

(Sub-Recipient)

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Name of Organization

Address of Organization

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntary excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions

(Direct Recipient)

_____
Application Number

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

_____
Name and Title of Authorized Representative

_____ _____
Signature Date

_____
Name and Address of Organization

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntary excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

Certification Regarding Drug-Free Workplace Requirements
Grantees Other Than Individuals

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 28 CFR Part 67, Subpart F. The regulations, published in the January 31, 1989 *Federal Register*, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment (see 28 CFR Part 67, Sections 67.615 and 67.620).

The grantee certifies that it will provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing a drug-free awareness program to inform employees about—
  (1) The dangers of drug abuse in the workplace;
  (2) The grantee's policy of maintaining a drug-free workplace;
  (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
  (1) Abide by the terms of the statement; and
  (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;

(f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
  (1) Taking appropriate personnel action against such an employee, up to and including termination; or
  (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

Place(s) of Performance: The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (street address, city, county, state, zip code):

_____

_____

_____

_____ _____
Organization Name Application Number

_____
Name and Title of Authorized Representative

_____ _____
Signature Date

PLEASE NOTE: Revisions to this form are anticipated during 1990. Depending upon the nature of the changes, applicants may need to obtain a more current version of this form from the National Institute of Justice

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

Certification Regarding Drug-Free Workplace Requirements

Grantees Who Are Individuals

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 28 CFR Part 67, Subpart F. The regulations, published in the January 31, 1989 *Federal Register*, require certification by grantees, prior to award, that their conduct of grant activity will be drug-free. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment (see 28 CFR Part 67, Sections 67.615 and 67.620).

The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

Organization Name (As Appropriate) _____ Application Number _____

Printed Name _____

Signature _____ Date _____

*U.S. G.P.O. 1989-262-214:00868

PLEASE NOTE: Revisions to this form are anticipated during 1990. Depending upon the nature of the changes, applicants may need to obtain a more current version of this form from the National Institute of Justice

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